#### COMMAND INSPECTION PROGRAM

FXCEPTIONS DOCUMENT
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Command: Division: ASD (070) ASD		Chapter: 3
Inspected by:		Date:
Anderson		January 21, 2009

number of the inspection in the Chaptershall be routed to and its due date. The	er Inspection number. Under "Fo is document shall be utilized to c	oxes as necessary, or fill if the blanks as indicate inward to:" enter the next level of command where document innovative practices, suggestions for some used to appeal findings. A CHP 51 Memoran	e the document tatewide		
TYPE OF INSPECTION		Corrective Action Plan Included			
☑ Division Level ☐ Command Level ☐ Appeal Included					
Executive Office Level					
Follow-up Required:	Forward to:	Commander's Signature:	Date:		
☐ Yes       No	Due Date:	Ca-Walker	2-3-09		
Chapter Inspection: Command I	Procurements, Chapter 3				
Inspector's Comments Regar	ding Innovative Practice	s:			
N/A		5 K			
Command Suggestions for S	tatewide Improvement:				
Ą					
Inspector's Findings					

The Division had established practices in place needed to monitor and track their procurement related expenditures (purchase orders only). Division files were available so documentation could be reviewed. The Division has been advised to maintain copies of the invoices relating to the purchases as none were in the Division files.

As discussed in the BSS findings, many of the questions from the checklist cannot be verified or are not defined in state policy or HPM. For instance, how can an inspector verify that items are checked immediately for content and damage when delivered? A command can respond yes but there is no way to verify the accuracy of that statement. The command inspection should be modified in such a fashion where inspectors actually are verifying a process that can be documented and produced when requested. Some obvious questions such as "are all CHP 43, purchase requisitions, available in the command file" are not asked but others that ask "whether a freight and/or packing slip has been attached to the received copy of the purchase order and sent to FMS". All checklists should be reviewed and revised so all questions are grounded in policy and are clearly measurable. This inspection did not respond to questions that could not be answered without some type of evidence.

# **COMMAND INSPECTION PROGRAM**FXCEPTIONS DOCUMENT

Command: Division:		Chapter:			
ASD (070) ASD		3			
Inspected by:		Date:			
Anderson		January 21, 2009			

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Commander's Response:	
The Division agrees with the Inspector's findings.	
Inspector's Comments:	
None	
Required Action: N/A	
Corrective Action Plan/Timeline	
N/A	
Anpeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Anpeal Process: (Appeals shall be filed within five (5) business days of the Commander's Basis for Appeal:	completed chapter inspection).
	completed chapter inspection).
Commander's Basis for Appeal:	completed chapter inspection).
Commander's Basis for Appeal:  N/A	completed chapter inspection).
Commander's Basis for Appeal:  N/A  Appeal Review/Decision: (This shall be the only level of appeal).  N/A  Lead Inspector's Signature:	Date:
Commander's Basis for Appeal:  N/A  Appeal Review/Decision: (This shall be the only level of appeal).  N/A  Lead Inspector's Signature:	

## MMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: ASD (070)	Division: ASD	Number:		
Evaluated by: Anderson		Date: January 21, 2009		
Assisted by:		Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level □ Division Level 22 anderson ☐ Voluntary Self-Inspection ☐ Executive Office Level Commander's Signature: Date: Follow-up Inspection Follow-up Required: 2-3-09 No. Yes For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: ☐ Yes ☐ No  $\bowtie$  N/A service contracts which are repetitive, regardless of the estimated dollar value? 2. Is a CHP 78 Contract Request used for one-time Remarks: N/A No ☐ Yes services exceeding \$4,999.99? Is the Office of Primary Interest (OPI) tracking Remarks: No  $\bowtie$  N/A numbering beginning with the requesting command ☐ Yes three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: □No N/A ☐ Yes and documented? 5. Are all copies of correspondence with the vendor Remarks: N/A Yes □ No maintained? 6. Are letters for contracts documented and maintained Remarks: Yes □ No  $\bowtie$  N/A which outline any problems related to substandard or non-performance of the vendor? Is the final product to be delivered described Remarks: ⊠ N/A No specifically and in as much detail as possible in the ☐ Yes CHP 78? Are all required levels of approval/signature obtained, Remarks: ⊠ N/A Yes □ No including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

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# MMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	☐ No	⊠ N/A	Remarks:
	10.	Is all work completed and accepted by the Department before expiration of contract agreement?	☐ Yes	□No	⊠ N/A	Remarks:
		Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	□ No	⊠ N/A	Remarks:
		Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	☐ Yes	□ No	⊠ N/A	Remarks:
	13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□ No	⊠ N/A	Remarks:
	14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	□ No	⊠ N/A	Remarks:
	15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	□ No	⊠ N/A	Remarks:
	16.	Are all applicable form sections of the CHP 78 completed?	☐ Yes	□No	⊠ N/A	Remarks.
	17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
	18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	⊠ N/A	Remarks:
	19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□ No	⊠ N/A	Remarks: No problems reported.
-	20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks:

## DMMAND INSPECTION PROGRAM

#### **INSPECTION CHECKLIST**

21. Is the length of the contract amendment request more than one year?	☐ Yes	☐ No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	Yes	□ No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks:
<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	Yes	□ No	⊠ N/A	Remarks:
(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair				×
(10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair				S

# MMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	□ No	⊠ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	□No	⊠ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	☐ No	⊠ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	⊠ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	☐ No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	☐ Yes	∃ □ No	⊠ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	□No	⊠ N/A	Remarks:

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Command: ASD (070)	Division: ASD	Number:
Evaluated by: Anderson		Date: January 21, 2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.						
TYPE OF INSPECTION Lead Inspector's Signature:						
⊠ Division Level     ☐ Command Level						
Division Level		I an	1010	m		
☐ Executive Office Level ☐ Voluntary Self-Inspection	n				Deter	
Follow-up Required: ☐ Yes ☐ No ☐ Follow-up Inspection	Commander's Signature: Date:  On Ca-Walke 2-3-0					
For applicable policy, refer to: HPM 11.2, Chapter 7	42					
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	I ⊠ Yes	□No	□ N/A	Remarks:		
<ol><li>Have Approvers/reviewers of purchases received procurement training?</li></ol>	⊠ Yes	☐ No	□ N/A	Remarks:		
3. Are prohibited items procured on CHP 43, Purchase Requisitions?	es	⊠ No	`□ N/A	Remarks:		
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>						
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	Yes	□ No	⊠ N/A	Remarks:		
5. Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	☐ No	□ N/A	Remarks:		
<ol> <li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>	ch 🛮 Yes	□No	□ N/A	Remarks:		
<ol> <li>Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?</li> </ol>	☐ Yes	☐ No	⊠ N/A	Remarks:		

# MMAND INSPECTION PROGRAM INSPECTION CHECKLIST

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
<ol><li>Are the CHP 43, Purchase Requisitions, competitively bid?</li></ol>	⊠ Yes	□No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	☐ No	⊠ N/A	Remarks: Not required on items requested.
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	☐ Yes	□No	□ N/A	Remarks: Staff indicate that this is done but there is no way this can be verified.
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	☐ Yes	□No	□ N/A	Remarks: Staff indicate that this is done but there is no way this can be verified.
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	□ No	□ N/A	Remarks: Staff indicate that this is done but there is no way this can be verified.
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	□ No	□ N/A	Remarks: Staff indicate that this is done but there is no way this can be verified.
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	☐ Yes	☐ No	□ N/A	Remarks: Staff indicate that this is done but there is no way this can be verified.
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks: No damaged items received.

# DIMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20. Is Purchasing Services Unit immediately by telephone, for by a memorandum or e-mail of the requisition or deletion determined that a commodities no longer needed and a payet been prepared?	ollowed in writing either , requesting cancellation of an item, if it is y requested on a CHP 43	Yes	□ No	⊠ N/A	Remarks:
21. Are open purchase orders p investigated to ensure the or an unreasonable length of ti	rders are not opened for	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase rorders maintained for three (SCM Vol. II, Ch. 11, Topic 4)	years after payment?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine as inspection period only covered one year.
23. Are decisions documented to documenting the basis of the purchase? (SCM Vol II Ch. 2)	e decisions made for the	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to bidding requirements or to c . Department's delegated pur (Public Contracts Code Section )	ircumvent the chase authority limits?	☐ Yes	⊠ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM 3PECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: ASD (070)	Division: ASD	Number:
Evaluated by: Anderson		Date: January 21, 2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPF OF INSPECTION □ Division Level ☐ Command Level 2 Landerson ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature: Date: ☐ Follow-up Inspection Follow-up Required: Yes For applicable policy, refer to: HPM 11.1, Chapter 23 1. Are multiple X Numbers awarded to the same vendor Remarks: N/A ☐ Yes ΠNο to circumvent the \$4,999 contract limit? 2. Does all X Number file documentation contain the Remarks: ☐ No N/A ☐ Yes STD. 204 Payee Data Record?

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#### **COMMAND INSPECTION PROGRAM**

#### **3PECTION CHECKLIST**

Chapter 3, Command Procurements X-Number Program

11.	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	☐ No	⊠ N/A	Remarks:
12.	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	☐ Yes	□No	⊠ N/A	Remarks:
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	☐ Yes	□No	⊠ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	☐ Yes	□No	⊠ N/A	Remarks:
	Is the itemized invoice for each X Number service maintained in the command's files?	☐ Yes	□No	⊠ N/A	Remarks:

ASD (070) did not issue any X Numbers during the inspection period.

#### COMMAND INSPECTION PROGRAM

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Command:	Division:	Chapter:
ASD (070)	ASD	4
Inspected by:		Date:
Anderson		January 21, 2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. Corrective Action Plan Included TYPE OF INSPECTION □ Division Level □ Command Level ☐ Appeal Included ☐ Executive Office Level ☐ Attachments Included Date: Commander's Signature: Forward to: Follow-up Required: C.a. Walker Due Date: 2-3-09 ⊠ No ☐ Yes Chapter Inspection: Fiscal Components, Chapter 4 Inspector's Comments Regarding Innovative Practices: N/A Command Suggestions for Statewide Improvement: 4 Inspector's Findings: The Administrative Services Division (070) does not receive nor does it prepare collections. There is also no petty cash or safe that needs to be accounted for. Commander's Response: Command agrees with the Inspector's findings. Inspector's Comments: N/A

N/A

Required Action: N/A

Corrective Action Plan/Timeline

# **COMMAND INSPECTION PROGRAM**FXCEPTIONS DOCUMENT

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Command: ASD (070)	Division: ASD	Chapter:
Inspected by:	7,100	Date:
Anderson		January 21, 2009

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal: N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	F
Lead Inspector's Signature:	Date: /-2/-09
Responding Commander's Signature (for appeal):	Date:
C-C-7 Valles	2-3-09

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## SPECTION PROGRAM

Command: ASD (070)	Division: ASD	Number:
Evaluated by: Anderson		Date: January 21, 2009
Assisted by:		Date:

						445 573	
INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.							
TYPE OF II	NSPECTION	Lead Inspe	ctor's Signatu	re:			
⊠ Divi	sion Level Command Level	> ~	) / a.	1. 0			
│ │	ce of Inspections	$\sim$	Z an	alis			
	llow-up Required:	Commande	er's Signature:			Date:	
	Yes No Follow-Up Inspection	CC	1-W.	llio	-)	2-3-09	
For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2.						×	
1.	Is management actively involved in reviewing and approving paperwork related to receiving and preparing collections?	☐ Yes	□No	⊠ N/A	Remarks: ASD (070) d prepare colle	oes not receive nor	
2.	Does the command have Standard Operating Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections?	☐ Yes	□No	⊠ N/A	Remarks:		
3.	Does the command have adequate separation of duties for collections received?	☐ Yes	□No	⊠ N/A	Remarks:		
4.	Does the command have adequate separation of duties for the cash receipt process?	☐ Yes	□No	⊠ N/A	Remarks:		
5.	Is access to the safe and/or vault appropriately restricted?	☐ Yes	□No	⊠ N/A	Remarks: AS	SD (070) has no safe.	
6.	Does a record exists which identifies who has access to the safe and/or vault and when changes in access occur?	☐ Yes	□No	⊠ N/A	Remarks:		
7.	Was the lock combination changed when an excess number of employees were aware of the combination, transferred out of the Area, or no longer requires access?	Yes	□No	⊠ N/A	Remarks:		
8. Is the safe securely anchored to the building?			□No	⊠ N/A	Remarks:		
9.	Are weekly transmittal reports prepared in accordance with departmental policy?	☐ Yes	□ No	⊠ N/A	Remarks:		
10.	Is the weekly transmittal report(s) submitted to Fiscal Management Section (FMS) within five working days following the week covered by the report?	Yes	□ No	⊠ N/A	Remarks:		

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### SPECTION PROGRAM

<ul><li>11. Does the command submit the following forms with the weekly transmittal when applicable?</li><li>(1) CHP 265, Sale of Discarded Tires/Junk</li></ul>	☐ Yes	□No	□ N/A	Remarks:
Batteries/Used Rotors.  (2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).  (3) STD 634, Absence and Additional Time Worked Report, for jury duty.  (4) CHP 221, Malicious Damage Report.  (5) CHP 464, Traffic Control Cost Estimate — Advance Deposit.  (6) Civil subpoena.		H		
12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□No	⊠ N/A	Remarks: ASD (070) does not have a petty cash fund nor receipts cash.
13. Does the command ensure the information written on the counter receipt is complete and legible?	☐ Yes	□No	⊠ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	☐ Yes	□No	⊠ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	⊠ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□ No	⊠ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	Yes	☐ No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	☐ Yes	□No	⊠ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	□No	⊠ N/A	Remarks:
22. Is the CHP 264 properly authorized?	☐ Yes	□ No	⊠ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	☐ Yes	□No	⊠ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	□Yes	□No	⊠ N/A	Remarks:

## ... SPECTION PROGRAM

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	□No	⊠ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	☐ No	⊠ N/A	Remarks:
28. Are all petty cash purchases under \$50?	☐ Yes	□No	⊠ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	□No	⊠ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	□No	⊠ N/A	Remarks:
31. Is a petty cash custodian designated by the	□Yes	Пио	⊠ N/A	Remarks:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: FMS (071)	Division ASD	Chapter 3
Inspected by: M.Baude, T. Anderson, N. Killion,		Date: November 6, 2008
D. Wiliams		

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature: Forward to: Date: Follow-up Required: Lisa Paolini, Chief ASD Due Date: Yes ⊠ No December 22, 2008 Chapter Inspection: Command Procurements, Chapter 3 Inspector's Comments Regarding Innovative Practices: N/A Command Suggestions for Statewide Improvement: N/A

The command had established practices in place needed to monitor and track their procurement related expenditures. Command files were available so documentation could be reviewed. Many of the items ordered were combined by BSS and the requisition was cancelled and ordered with a different numbering sequence so an invoice that contained only the items for FMS was not available for review.

As discussed in the BSS findings, many of the questions from the checklist cannot be verified or are not defined in state or departmental policy. For instance, how can an inspector verify that items are checked immediately for content and damage when delivered? A command can respond yes but there is no way to verify the accuracy of that statement. The command inspection should be modified in such a fashion where inspectors actually are verifying a process that can be documented and produced when requested. Some obvious questions such as "are all CHP 43, Purchase Requisition, available in the command file" are not asked but others that ask "whether a freight and/or packing slip has been attached to the received copy of the purchase order and sent to FMS." All checklists should be reviewed and revised so all questions are grounded in policy and are clearly measurable. As inspectors, our Team did not respond to questions that could not be answered without some type of evidence.

Inspector's Findings:

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command: FMS (071)	Division: ASD	Chapter: 3
Inspected by:		Date:
M.Baude, T. Anderson, N. Killion, D. Wiliams		November 6, 2008

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Commander's Response:	
Command agrees with the Inspectors findings.	
Inspector's Comments:	
None	
Required Action: N/A	
Corrective Action Plan/Timeline	
N/A	
Anneal Process: (Anneals shall be filed within five (5) business days of the	completed chapter inspection).
Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Appeal Process: (Appeals shall be filed within five (5) business days of the Commander's Basis for Appeal:	completed chapter inspection).
	completed chapter inspection).
Commander's Basis for Appeal:	completed chapter inspection).
Commander's Basis for Appeal:  N/A	completed chapter inspection).
Commander's Basis for Appeal:  N/A  Appeal Review/Decision: (This shall be the only level of appeal).	completed chapter inspection).  Date:

## COMMAND INSPECTION PROGRAM

Command: FMS (071)	Division: ASD	Chapter: 4
Inspected by: M.Baude, T. And D. Wiliams	derson, N. Killion,	Date: November 6, 2008

**EXCEPTIONS DOCUMENT** INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level ☐ Attachments Included Date: Commander's Signature: Forward to: Follow-up Required: Lisa Paolini, Chief ASD Due Date: ⊠ No ☐ Yes December 22, 2008 Chapter Inspection: Fiscal Components, Chapter 4 Inspector's Comments Regarding Innovative Practices: N/A Command Suggestions for Statewide Improvement: N/A Inspector's Findings: Command practices were consistent with state policy and procedures. Commander's Response: None Inspector's Comments: None Required Action Corrective Action Plan/Timeline Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal: N/A

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT Page 2

Command: FMS (071)	Division: ASD	Chapter: 4
Inspected by:	lerson, N. Killion,	Date: November 6, 2008

Appeal Review/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:
EMC (074)	4.00	1
FMS (071)	ASD	
Evaluated by:		Date:
Mark Baude		November 14, 2008
Assisted by:		Date:
Dornetta Williams		November 14, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE O	F INSPECTION	Lead Inspe	ctor's Signati	ıre:	
☐ Div	ision Level				
☐ Executive Office Level ☐ Voluntary Self-Inspection					
Fo	llow-up Required: ☐ Follow-up Inspection  Yes ☐ No	Commander's Signature: Date:			Date:
For ap	oplicable policy, refer to: HPM 11.2, Chapter 3				
	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks: Per HPM 11.2, Chapter 3, 6(b) STD 21's are valid for a period of three years and are obtained at initial contact with supplier. STD 317 certifies that a valid STD 21 is on file.
3.	Are STD, 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks: Certification that STD 204 has been received was completed.
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks Certification that documents have been received was completed.
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□ No	□ N/A	Remarks: Certification that fair and reasonable method was used has been completed.
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□ No	□ N/A	Remarks: Per HPM 11.2, Chapter 3 6a(6) the buyer has certified that the cost of the acquisition is deemed fair and reasonable on the CHP 317.
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	☐ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Are bank statements reconciled with the CHP 317     Cal Card Log and the receipts/invoices?	⊠ Yes	☐ No	□ N/A	Remarks:
10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	ΔNο	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	□ No	⊠ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

All purchases made from December 2007 and June 2008 were reviewed as part of this inspection.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: FMS (071)	Division: ASD	Number:
Evaluated by:		Date:
T. L. Anderson		November 21, 2008
Assisted by:		Date:
M. Baude		November 21, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:				
☐ Division Level ☐ Command Level					
☐ Executive Office Level ☐ Voluntary Self-Inspection					
Follow-up Required:	Commander's Signature: Date				
For applicable policy, refer to: HPM 11.1, Chapter 22					
<ol> <li>Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?</li> </ol>					
<ol><li>Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?</li></ol>	☐ Yes ☐ No ☒ N/A Remarks: No one-time service contracts reviewed.				
<ol> <li>Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?</li> </ol>	⊠ Yes □ No □ N/A Remarks:				
4. Is the performance of contract services monitored and documented?	Yes No N/A Remarks: Unable to determine.				
5. Are all copies of correspondence with the vendor maintained?	Yes No N/A Remarks: Unable to determine.				
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	Yes No N/A Remarks: No problems reported				
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?					
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	∑ Yes ☐ No ☐ N/A Remarks:				

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9,	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks: Policy not in effect for the contracts reviewed.
10	Is all work completed and accepted by the Department before expiration of contract agreement?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine.
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine.
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine.
16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	☐ No	□ N/A	Remarks:
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks: No emergency contracts reviewed.
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	⊠ N/A	Remarks: Policy not in effect for the contracts reviewed.
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□ No	⊠ N/A	Remarks: No problems reported.
20.	Are contract amendment request dollar amounts increased more than 30%?	☐Yes	⊠ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks: No room rental contracts were reviewed.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks: No room rental contracts were reviewed.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	☐ Yes	□ No	⊠ N/A	Remarks: No contracts of these types reviewed.
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	☐ Yes	□ No	□ N/A	Remarks: Unable to determine

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27.	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine.
28.	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks: Except for invoices.
	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine.
31.	Is a computer file prepared for all contracts administered?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine.
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks: Only one contract contained a spreadsheet listing expenditures.
33.	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	⊠ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks: No consultant contracts were reviewed.
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks: No consultant contracts were reviewed.
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□ No	□ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

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#### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

Command: FMS (071)	Division: ASD	Number;
Evaluated by: Mark Baude		Date: November 13, 2008
Assisted by:		Date: November 13, 2008

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level ☐ Division Level Office of Inspections ☐ Voluntary Self-Inspection Date: Commander's Signature: Follow-up Required: Follow-Up Inspection ⊠ No ☐ Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: approving paperwork related to receiving and □ N/A □ No preparing collections? 2. Does the command have Standard Operating Remarks: ✓ Yes □ No □ N/A Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: ✓ Yes ☐ No □ N/A duties for collections received? 4. Does the command have adequate separation of Remarks: N/A ☐ No duties for the cash receipt process? 5. Is access to the safe and/or vault appropriately Remarks: ⊠ Yes □ No □ N/A restricted? Does a record exists which identifies who has access Remarks: ⊠ Yes ☐ No □ N/A to the safe and/or vault and when changes in access occur? 7. Was the lock combination changed when an excess Remarks: □ N/A ☐ No number of employees were aware of the combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: ☐ Yes ⊠ No □ N/A Are weekly transmittal reports prepared in Remarks: accordance with departmental policy? ⊠ Yes ☐ No N/A 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: □ N/A Management Section (FMS) within five working days ⊠ Yes ☐ No following the week covered by the report?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

#### **INSPECTION PROGRAM**

Does the command submit the following with the weekly transmittal when applications.	icable?	☐ Yes	☐ No	⊠ N/A	Remarks:
(1) CHP 265, Sale of Discarded Tires	s/Junk				
Batteries/Used Rotors.	int/Donort				
(2) CHP 36, Evidence/Property Rece	ірикероп				
(Unclaimed Property). (3) STD 634, Absence and Additiona	L Time Marked				
Report, for jury duty.	i Time Worked				
(4) CHP 221, Malicious Damage Rep	ort				
(5) CHP 464, Traffic Control Cost Est					
Advance Deposit.	iiiide				
(6) Civil subpoena.					
12. Is a memorandum for cash shortages	prepared if				
necessary?			☐ No	□ N/A	Remarks:
13. Does the command ensure the inform	ation written on				
the counter receipt is complete and le			☐ No	□ N/A	Remarks:
14. Was a counter receipt issued for each	witness fee				Domarka
deposit received?		☐ Yes	☐ No	⊠ N/A	Remarks:
15. Was a counter receipt issued for each				N	Remarks:
wide-load, and special event detail(s)		☐ Yes	□ No	⊠ N/A	Temans.
16. Was each counter receipt issued for e			□ Na	NZI NI/A	Remarks:
including the sale of discarded tires, ju used rotors, and other cash received?	ink patteries,	Yes	☐ No	⊠ N/A	
17. Is sales tax added to items that are no	ot for rocalo?				
17. Is sales tax added to items that are no	n ioi resale !	☐ Yes	□No	⊠ N/A	Remarks
18. Are all counter receipts pre-numbered	and issued in			23 14/7	
numerical sequence?	ana locaca in		□No	□ N/A	Remarks
19. Were transfers of counter receipt book	s/certificates				
between field commands reported on		☐ Yes	□No	⊠ N/A	Remarks
Credit Memo - Non- Equipment?	·		_		
20. Is the STD 439, Disbursement Vouche	er, properly				5
authorized and completed to support of		Yes	□ No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Repleni			_		Remarks:
Requests, completed at least monthly			☐ No	□ N/A	Remarks.
quarterly if under \$10.00, and on June	30 of each				
fiscal year?					
22. Is the CHP 264 properly authorized?				□ NI/A	Remarks:
23. Does the total amount of cash, receipt	c on hand, and		☐ No	□ N/A	
receipts in transit equal the total of pet		⊠ Yes	□No	□ N/A	Remarks:
change funds?	ity cash and	<u> </u>			
24. Is there documentation to support peri	odic reviews of				
petty cash and change funds performe		⊠ Yes	☐ No	□ N/A	Remarks
commander or designated person?	1				
25. Are overages and shortages of the pe	tty cash				
funds reported to Fiscal Management	Section?	Yes	☐ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **INSPECTION PROGRAM**

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?		□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command: FMS (071)	Division: ASD	Number:		
Evaluated by: M. Baude	1	Date: November 24, 2008		
Assisted by:		Date: November 24, 2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers applicable legal statues, or deficiencies noted in the inspections shall discrepancies and/or deficiencies shall be documented on an Excepti Furthermore, the Exceptions Document shall include any follow-up are Inspection, the "Follow-up Inspection" box shall be marked and only defined the shall be marked the shall be marked and only defined the shall be marked the shall be marked the shall be marked the shall be marked and only defined the shall be marked the shall b	be commer ons Documand/or correct	nted on via thent and addr tive action(s)	ie "Remark essed to th taken. If t	s" section. A ne next level his form is us	Additionally, such of command.
THE OF HERESTON	T	-1- 1- 0:1			
TYPE OF INSPECTION	Lead Inspe	ector's Signatu	ire:		
☐ Division Level ☐ Command Level					
☐ Executive Office Level ☐ Voluntary Self-Inspection					
Follow-up Required:  Yes No Follow-up Inspection	Commander's Signature: Date:				Date:
For applicable policy, refer to: HPM 11.2, Chapter 7					
<ol> <li>Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?</li> </ol>	⊠ Yes	☐ No	□ N/A	Remarks:	
<ol><li>Have Approvers/reviewers of purchases received procurement training?</li></ol>	⊠ Yes	□ No	□ N/A	Remarks	
<ol><li>Are prohibited items procured on CHP 43, Purchases Requisitions?</li></ol>	☐ Yes	⊠ No	□ N/A	Remarks:	
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>					
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	☐ Yes	□ No	⊠ N/A	Remarks:	D.
5. Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□No	□ N/A	Remarks:	
<ol> <li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>	⊠ Yes	□No	□ N/A	Remarks	
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes	□No	⊠ N/A	Remarks	

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	□No	⊠ N/A	Remarks: All purchases were either on state contract or through Prison Industry Authority.
	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks
	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	☐ No	⊠ N/A	Remarks:
	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks:
	Are items checked immediately for content and damage when delivered?	☐ Yes	□No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.
	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	☐ Yes	□ No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	□No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.
6	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	□ No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.
(	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	☐ Yes	□No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.
á	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□ No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20. Is Purchasing Services Unit (Pimmediately by telephone, follow by a memorandum or e-mail, respectively of the requisition or deletion of determined that a commodity resist no longer needed and a purchyet been prepared?	owed in writing either equesting cancellation an item, if it is equested on a CHP 43	☐ Yes	□ No	⊠ N/A	Remarks:
21. Are open purchase orders perion investigated to ensure the order an unreasonable length of time	ers are not opened for	⊠ Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase req orders maintained for three yea (SCM Vol. II, Ch. 11, Topic 4)		⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to c documenting the basis of the d purchase? (SCM Vol II Ch. 2, 1	ecisions made for the	☐ Yes	□ No	⊠ N/A	Remarks:
24. Are purchase orders split to even bidding requirements or to circu Department's delegated purcha (Public Contracts Code Section	umvent the ase authority limits?	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: FMS (071)	Division: ASD	Number
Evaluated by:		Date:
Mark Baude		November 13, 2008
Assisted by:		Date:
Norma Killion		November 13, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspe	ector's Signatu	ıre:		
☐ Division Level ☐ Command Level		•			
☐ Executive Office Level ☐ Voluntary Self-Inspection	n				
Follow-up Required:	Commander's Signature: Date:				
For applicable policy, refer to: HPM 11.1, Chapter 23					
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks	
Does all X Number file documentation contain the STD. 204 Payee Data Record?	☐ Yes	□No	⊠ N/A	Remarks: HPM 11.1, Chapter 23 1(c) states that "The office originating the CHP 78X, X Number Service Order, should retain a copy of the STD 204, Payee Data Record, for audit purposes." There is no requirement that documentation must contain the STD 204. Chapter 23 6(g) "states, "the requestor shall maintain one copy of the CHP 78X and corresponding invoice for the command file." CHP 78X contains a box that certifies a STD 21 and STD 204 are on file.	
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes	□ No	⊠ N/A	Remarks:	
4. Are X Number requests made prior to the date the services are performed?	⊠ Yes	☐ No	□ N/A	Remarks	
5. Are X Numbers issued for a one-time use?	⊠ Yes	☐ No	□ N/A	Remarks:	
6. Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks	
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□ No	□ N/A	Remarks:	

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes	□No	⊠ N/A	Remarks
9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	☐ Yes	□No	⊠ N/A	Remarks
10.	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□No	⊠ N/A	Remarks:
11.	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	□ No	⊠ N/A	Remarks: All small business vendors.
12,	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks: There is no requirement that documentation must contain the small business certification. Chapter 23 6(g) "states, "the requestor shall maintain one copy of the CHP 78X and corresponding invoice for the command file." CHP 78X contains a box that when checked certifies a STD 21 and STD 204 are on file
13.	Does the file documentation contain the STD, 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks: Chapter 23 6(g) "states, "the requestor shall maintain one copy of the CHP 78X and corresponding invoice for the command file." HPM does state that a STD 21 should be obtained (Chapter 23 5(d) but does not specify where. CHP 78X contains a box that when checked certifies a STD 21 is on file.
14.	Do emergency service X Numbers document and justify the emergency?	☐ Yes	□No	⊠ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	☐ Yes	⊠ No	□ N/A	Remarks:

Chapter 23 6(g) "states, "the requestor shall maintain one copy of the CHP 78X, X Number Service Order, and corresponding invoice for the command file." Chapter 23 of HPM 11.1, makes no reference to what should be contained as file documentation outside of what is referenced in the above mentioned Sections so no observations could be reported for a requirement that is not documented. Chapter 23 makes reference that the STD 21, Drug-Free Workplace Certification, STD 204, Payee Data Record, a Department of General Services (DGS) Office of Small Business and Disabled Veteran-owned Business Enterprise Services certification printout from the DGS website should be retained but makes no reference in what fashion that should occur or where. Because policy does not fully discuss this requirement no observation was noted.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division	Chapter:	
FOS (074)	ASD		
Inspected by:		Date:	
D. Williams / T. Anderson		December 12, 2008	

number of the inspection in the Chapte shall be routed to and its due date. The	er Inspection number. Under "Fo is document shall be utilized to o	oxes as necessary, or fill in the blanks as indicated by an extraction of command when document innovative practices, suggestions for used to appeal findings. A CHP 51 Memoral	re the document statewide		
TYPE OF INSPECTION		Corrective Action Plan Included			
☐ Division Level ☐ Command Level		Appeal Included			
☐ Executive Office Level		☐ Attachments Included			
Follow-up Required:	Forward to: Lisa Paolini, Chief ASD	Commander's Signature:	Date:		
⊠ Yes □ No	Due Date: December 22, 2008				
Chapter Inspection: Command	Procurements, Chapter 3				
عبيج سيشارا فيعتنيس والتناسي					
Inspector's Comments Regarding Innovative Practices:					
N/A					
Command Suggestions for Statewide Improvement:					
N/A					
Inspector's Findings:					

Most of the command files were adequate. The only area in need of follow-up review is contracts. The command's contract files consisted mainly of the contract and invoices. The CHP 78 was only included in one of the files reviewed. However, not all files will have the CHP 78 as some of them were facility related. In those instances, Facilities Section initiates the CHP 78 and the command would not have a copy. However the command file documentation was still lacking. The Inspection Team suggests that the command develop a prototype contract file to disseminate to all contract managers. This would assure that the command has a complete contract file.

As for observations, in reviewing the February 2008 CAL-Card statement, it was noted that two sets of the California Integrated Waste Management Board Form #74 were included in the file. However, there were no copies of the website certification for the certified suppliers. Caution should be exercised in maintaining the proper file documentation to prevent having to re-create files at a later date. Additionally, the June 2008 CAL-Card statement showed eight individual purchase invoices, ranging in date from March 27 through April 11, which were compiled into a single purchase transaction and processed in June. Undisputed invoices shall be charged to the CAL-Card at the time of the purchase.

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# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command:	Division	Chapter
FOS (074)	ASD	3
Inspected by:	Date:	
Williams/Anderson	December 12, 2008	

Commander's Response:		
Inspector's Comments:		
		11 11 18
Required Action:		
Corrective Action Plan/Timeline		 
R		

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command: FOS (074)	Division: ASD	Chapter 3
Inspected by: Williams/Anders	on	Date December 12, 2008

Page	3	
. ~9~	377.0	

Appeal Review/Decision: (This shall be the only level of	f appeal).	
Lead Inspector's Signature:	Date:	

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command: Division:		Chapter:		
FOS (074)	ASD	4		
Inspected by:		Date:		
T. Anderson				

number of the inspection in the Chapte shall be routed to and its due date. The	er Inspection number. Under "Fonis document shall be utilized to o	oxes as necessary, or fill in the blanks as indicatorward to:" enter the next level of command who document innovative practices, suggestions for the used to appeal findings. A CHP 51 Memora	ere the document r statewide				
TYPE OF INSPECTION		Corrective Action Plan Included					
☐ Division Level ☒ Command Level		Appeal Included					
Executive Office Level		Attachments Included					
Follow-up Required:	Forward to: Due Date:	Commander's Signature:	Date:				
☐ Yes							
Chapter Inspection: Fiscal Com	ponents, Chapter 4						
Inspector's Comments Rega	rding Innovative Practice	es:					
N/A							
Command Suggestions for S	Statewide Improvement:						
N/A							
Inspector's Findings:							
Command practices were co	nsistent with state policy	and procedures.					
Commander's Response:							
None							
Inspector's Comments:							
None							
Required Action		etamological ad no lus services					
Corrective Action Plan/Timel	ine						
Appeal Process: (Appeals sha	ll be filed within five (5) busine	ess days of the completed chapter inspection	on).				
Commander's Basis for Appe	eal: N/A						

### **COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT**

Page 2

Command:	Division:	Chapter:	
FOS (074)	ASD	4	
Inspected by:		Date:	
T. Anderson		12-19-08	

Appeal Review/Decision: (This shall be the only level of appeal).				
Lead Inspector's Signature:	Date:			
Responding Commander's Signature (for appeal):	Date:			

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Division: FOS (074) ASD		Number:		
Evaluated by:		Date:		
Dornetta Williams	3	December 10, 2008		
Assisted by:		Date:		
Terri Anderson		December 10, 2008		

applicat discrepa Furtherr	ICTIONS: Answer individual items with "Yes" or "No" answers ble legal statues, or deficiencies noted in the inspections shall ancies and/or deficiencies shall be documented on an Exceptimore, the Exceptions Document shall include any follow-up aron, the "Follow-up Inspection" box shall be marked and only do	be commen ons Documend/or correct	ited on via th ent and addr ive action(s)	e "Remark essed to th taken. If th	s" section. A e next level o nis form is us	dditionally, such of command.
TVDE O	FINSPECTION	Load Inone	ctor's Signatu	ro:		
		Leau mspe	ctor s Signatu	16.		
🔲 Divi	sion Level 🔀 Command Level					
Exe	cutive Office Level					
Fo	llow-up Required: ☐ Follow-up Inspection  Yes ☒ No	Commande	er's Signature:			Date:
For ap	plicable policy, refer to: HPM 11.2, Chapter 3				-11	
1.	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	⊠ N/A		t present, the CHP 78S n incorporated into CAL-
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	21's are valid years and ar contact with	2, Chapter 3, 6(b) Std d for a period of three e obtained at initial supplier. CHP 317, CAL- ntifies that a valid STD
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	B 1	
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	□ No	□ N/A	purchases, necessary w	ras completed for all However, the form is only hen purchasing in the 11 recycled- gories.
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A		e website certifications d with the file
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□No	□ N/A	buyer has ce acquisition is	.2, Chapter 3 6a(6) the entified that the cost of the side deemed fair and on the CHP 317.

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks: Supporting documentation, such as the pre-approval/request to purchase should be assembled with the invoice, or in the same manner consistent with the charges as they appears on the Statement of Account, and are logged on the CHP 317.
10.	Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
12.	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	□ No	⊠ N/A	Remarks:
13.	Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15,	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□ No	□ N/A	Remarks: A CHP 317A is on file for all of the FOS cardholders, certifying they have been trained on CAL-Card policy.
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

All purchases for February 2008 and June 2008 were reviewed as part of this inspection.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: FOS (074)		
Evaluated by: T. L. Anderson		Date: December 12, 2008
Assisted by:		Date: December 12, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level Command Level Executive Office Level ☐ Voluntary Self-Inspection Date: Follow-up Inspection Commander's Signature: Follow-up Required: X Yes For applicable policy, refer to: HPM 11.1, Chapter 22 Is a CHP 78 Contract Request used to initiate all Remarks: CHP 78 was not service contracts which are repetitive, regardless of ☐ Yes □ No □ N/A consistently available for review. the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: CHP 78 was not services exceeding \$4,999.99? ☐ Yes □ No □ N/A consistently available for review. 3. Is the Office of Primary Interest (OPI) tracking Remarks: CHP 78 was not □ N/A numbering beginning with the requesting command ☐ Yes □ No consistently available for review. three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: Unable to determine. and documented? ☐ Yes ☐ No □ N/A Most files consisted of invoices and contract only. 5. Are all copies of correspondence with the vendor Remarks: See above. maintained? □ N/A ☐ Yes ☐ No Are letters for contracts documented and maintained Remarks: No problems reported. N/A which outline any problems related to substandard or Yes ☐ No non-performance of the vendor? 7. Is the final product to be delivered described Remarks: CHP 78 was not specifically and in as much detail as possible in the ☐ Yes □ No □ N/A consistently available for review. CHP 78? Are all required levels of approval/signature obtained, Remarks: CHP 78 was not including the required documentation and approvals ☐ Yes □ No □ N/A consistently available for review. for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A? 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	□ N/A	Remarks: CHP 78 was not consistently available for review,
10	. Is all work completed and accepted by the Department before expiration of contract agreement?	☐ Yes	□No	⊠ N/A	Remarks: All contracts reviewed were not yet expired.
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine. Most files consisted of invoices and contract only.
12	. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13	Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
14	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	□ No	⊠ N/A	Remarks: All contracts reviewed were not yet expired.
15	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	□No	⊠ N/A	Remarks: All contracts reviewed were not yet expired.
16.	Are all applicable form sections of the CHP 78 completed?	☐ Yes	□No	□ N/A	Remarks: CHP 78 was not consistently available for review.
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks: No emergency contracts reviewed.
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks: No problems reported.
20.	Are contract amendment request dollar amounts				
	increased more than 30%?	☐ Yes	☐ No	⊠ N/A	Remarks: No amendments reviewed.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

☐ Yes	☐ No	⊠ N/A	Remarks: No amendments reviewed
☐ Yes	□No	⊠ N/A	Remarks: No amendments reviewed.
☐ Yes	□ No	⊠ N/A	Remarks: No room rental contracts were reviewed.
☐ Yes	☐ No	⊠ N/A	Remarks: No room rental contracts were reviewed.
☐ Yes	□No	□ N/A	Remarks: Unable to determine.
☐ Yes	□ No	□ N/A	Remarks: Unable to determine
	☐ Yes ☐ Yes ☐ Yes ☐ Yes	☐ Yes ☐ No	Yes       No       <

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27.	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine
28.	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	☐ Yes	□No	□ N/A	Remarks: Review only consisted of current contracts.
30.	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine.
31.	Is a computer file prepared for all contracts administered?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine.
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks: Files did not contain spreadsheets.
33.	Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	□ N/A	Remarks: Unable to determine
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks: All contracts reviewed were still active.
	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks: No consultant contracts were reviewed.
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks: No consultant contracts were reviewed.
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	□ N/A	Remarks: Unable to determine.
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

Command: FOS (074)	Division: ASD	Number:
Evaluated by: Terri Anderson	<b>·</b>	Date: December 19, 2008
Assisted by:		Date: December 19, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:					
☐ Division Level ☐ ☐	Command Level						
☐ Office of Inspections ☐	Voluntary Self-Inspection	n					
Follow-up Required: ☐ Yes ☐ No	Follow-Up Inspection	Commander's Signature: Date:					
For applicable policies, refer to St Manual (SAM), HPM 11.1, Chapte Chapter 2.							
<ol> <li>Is management actively invo approving paperwork related preparing collections?</li> </ol>		⊠ Yes	☐ No	□ N/A	Remarks		
<ol> <li>Does the command have Sta Procedures (SOP) to provide for overall management and receiving and preparing colle</li> </ol>	e necessary guidelines accountability of	⊠ Yes	□No	□ N/A	Remarks:		
<ol> <li>Does the command have adduties for collections receive</li> </ol>		⊠ Yes	□No	□ N/A	Remarks:		
<ol> <li>Does the command have add duties for the cash receipt pro</li> </ol>		⊠ Yes	□No	□ N/A	Remarks:		
5. Is access to the safe and/or restricted?	vault appropriately	⊠ Yes	☐ No	□ N/A	Remarks:		
6. Does a record exists which is to the safe and/or vault and v occur?	when changes in access	⊠ Yes	□No	□ N/A	Remarks:		
<ol> <li>Was the lock combination ch number of employees were a combination, transferred out requires access?</li> </ol>	aware of the	⊠ Yes	□No	□ N/A	Remarks:		
8. Is the safe securely anchored	d to the building?	☐ Yes	⊠ No	□ N/A	Remarks:		
Are weekly transmittal report accordance with departments		⊠ Yes	□No	□ N/A	Remarks:		
10. Is the weekly transmittal repo	ort(s) submitted to Fiscal within five working days	⊠ Yes	☐ No	□ N/A	Remarks:		

### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

	4			
11. Does the command submit the following forms with the weekly transmittal when applicable?  (1) CHR 365, Sala of Disported Tiran Lunk	☐ Yes	□No	⊠ N/A	Remarks:
(1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.				
(2) CHP 36, Evidence/Property Receipt/Report				
(Unclaimed Property).				
(3) STD 634, Absence and Additional Time Worked				
Report, for jury duty.				
(4) CHP 221, Malicious Damage Report.				
<ul><li>(5) CHP 464, Traffic Control Cost Estimate –</li></ul>				
Advance Deposit.				
(6) Civil subpoena.				
12. Is a memorandum for cash shortages prepared if			57	Remarks: Has not occurred
necessary?	☐ Yes	☐ No	⊠ N/A	Tremarks. This flot occurred.
13. Does the command ensure the information written on	N7. V			Remarks:
the counter receipt is complete and legible?	⊠ Yes	☐ No	□ N/A	Tromano.
14. Was a counter receipt issued for each witness fee	□ Vaa		⊠ N/A	Remarks:
deposit received?  15. Was a counter receipt issued for each movie,	Yes	☐ No	IN/A	
wide-load, and special event detail(s)?	☐ Yes	□No	⊠ N/A	Remarks
16. Was each counter receipt issued for each sale,			MINA	
including the sale of discarded tires, junk batteries,	☐ Yes	│	⊠ N/A	Remarks:
used rotors, and other cash received?				
17. Is sales tax added to items that are not for resale?	a			
	Yes	☐ No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in				
numerical sequence?		☐ No	□ N/A	Remarks:
<ol><li>Were transfers of counter receipt books/certificates</li></ol>				Damasika.
between field commands reported on a CHP 266A,	│	☐ No	⊠ N/A	Remarks:
Credit Memo - Non- Equipment?				
20. Is the STD 439, Disbursement Voucher, properly			NZ NIA	Remarks:
authorized and completed to support expenditure?	☐ Yes	☐ No	⊠ N/A	Tremaine.
21. Are the CHP 264, Petty Cash Replenishment	N V			Remarks:
Requests, completed at least monthly if over \$10.00,	⊠ Yes	☐ No	□ N/A	
quarterly if under \$10.00, and on June 30 of each fiscal year?				
22. Is the CHP 264 properly authorized?				
22, 13 the OTH 204 property dutilonized:	⊠ Yes	□No	□ N/A	Remarks
23. Does the total amount of cash, receipts on hand, and	23.00			
receipts in transit equal the total of petty cash and	⊠ Yes	☐ No	□ N/A	Remarks
change funds?				
24. Is there documentation to support periodic reviews of				Dd
petty cash and change funds performed by the		☐ No	□ N/A	Remarks:
commander or designated person?				
25. Are overages and shortages of the petty cash			⊠ N/Δ	Remarks: Has not occurred.
funds reported to Fiscal Management Section?	ا وم۷ 🏻 ا		⊫l×LN/Δ	Nomana. Has not occurred.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	⊠ No	□ N/A	Remarks
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	⊠ Yes	☐ No	□ N/A	Remarks:
28. Are all petty cash purchases under \$50?	⊠ Yes	□No	□ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	⊠ No	□ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	⊠ Yes	П No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command: FOS (074)	Division: ASD	Number:
Evaluated by: T. L. Anderson		Date: December 12, 2008
Assisted by:		Date: December 12, 2008

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.						
				4		
TYPE OF INSPECTION	Lead Inspe	ector's Signatu	іге:			
☐ Division Level ☐ Command Level						
☐ Executive Office Level ☐ Voluntary Self-Inspection						
Follow-up Required:  Solution    Follow-up Inspection	Commande	er's Signature		Date:		
For applicable policy, refer to: HPM 11.2, Chapter 7						
<ol> <li>Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?</li> </ol>	⊠ Yes	☐ No	□ N/A	Remarks: Commander and staff training has either been taken or will be scheduled to be taken.		
<ol><li>Have Approvers/reviewers of purchases received procurement training?</li></ol>	⊠ Yes	☐ No	□ N/A	Remarks: Same as above.		
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:		
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>						
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	☐ No	□ N/A	Remarks:		
5. Is all required information entered on the CHP 43, Purchase Requisition?	☐ Yes	⊠ No	□ N/A	Remarks: With the command using ReDS, this issue will resolve itself. Mainly coding was missing.		
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	⊠ Yes	☐ No	□ N/A	Remarks:		
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes	☐ No	⊠ N/A	Remarks: No expedited requests were reviewed.		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
	9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks.
	10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
	11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks: No LCB purchases were reviewed.
	12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	☐ No	⊠ N/A	Remarks: See above
	6	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks: No NCB purchases were reviewed.
	14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
	15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
	16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine.
	17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine.
5		Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
	19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□ No	⊠ N/A	Remarks: No damaged items were received.

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	⊠ N/A	Remarks:
21	. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	☐ Yes	□No	□ N/A	Remarks: Unable to determine
22	. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	☐ Yes	□No	□ N/A	Remarks: Unable to determine
23	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

When a blanket order is issued to the command, the command should be keeping track of the expenditures against the blanket order. The reviewed files did not contain the information as the command stated that no purchases had yet been made. However, the Inspection Team was not confident that the command intended to keep track. This note is an observation only. The HPM does not address this issue. However it is addressed in the State Contracting Manual, Volume 2, Chapter 2, as follows:

#### 2.B3.5 Blanket Purchases

A blanket purchase is an acquisition mechanism established for no longer than one year with one supplier where the quantities of specific products are not known. In these cases, the department has determined that a group of goods from a specified supplier is necessary to the program, but the department must be flexible when determining the instant need.

In no case may a blanket purchase exceed \$4,999.99 per transaction, unless the blanket purchase is issued under an LPA contract whereby the purchase document dollar cap is limited to the LPA contract dollar threshold. The department must keep a copy of each order placed against each blanket purchase document in the procurement file. The department must document in the procurement file why it is in the State's best interest to execute a blanket purchase.

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: FOS (074)	Division ASD	Number
Evaluated by: Norma Killion		Date: December 10, 2008
Assisted by:		Date: December 10, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:				
☐ Division Level ☐ Command Level					
☐ Executive Office Level ☐ Voluntary Self-Inspection					
Follow-up Required:	Commande	er's Signature:		Date	
For applicable policy, refer to: HPM 11.1, Chapter 23					
<ol> <li>Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?</li> </ol>	☐ Yes	⊠ No	□ N/A	Remarks:	
<ol><li>Does all X Number file documentation contain the STD. 204 Payee Data Record?</li></ol>	⊠ Yes	☐ No	□ N/A	Remarks:	
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes	⊠ No	□ N/A	Remarks:	
4. Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:	
5. Are X Numbers issued for a one-time use?	⊠ Yes	□No	□ N/A	Remarks:	
6. Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:	
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks	
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes	⊠ No	□ N/A	Remarks:	
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	☐ Yes	□No	⊠ N/A	Remarks: None over \$1,000	
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□No	⊠ N/A	Remarks: None on file.	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

4.4	De all V Numbers averaged of the construction of				
	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks: X numbers without three quotes had justification for proprietary service or other documented reasons.
12.	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks: X numbers without CHP 21 provided notation on CHP 78X that form was on file.
14.	Do emergency service X Numbers document and justify the emergency?	☐ Yes	☐ No	⊠ N/A	Remarks: No emergencies on file
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

Chapter 23 6(g) "states, "the requestor shall maintain one copy of the CHP 78X, X Number Service Order, and corresponding invoice for the command file." Chapter 23 of HPM 11.1, makes no reference to what should be contained as file documentation outside of what is referenced in the above mentioned Sections so no observations could be reported for a requirement that is not documented. Chapter 23 makes reference that the STD 21, Drug-Free Workplace Certification, STD 204, Payee Data Record, a Department of General Services (DGS) Office of Small Business and Disabled Veteran-owned Business Enterprise Services certification printout from the DGS website should be retained but makes no reference in what fashion that should occur or where. Because policy does not fully discuss this requirement no observation was noted.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Division: ASD		Number:
Evaluated by:		Date:
Mark Baude		November 14, 2008
Assisted by:		Date:
Dornetta Williams		November 14, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:				
☐ Division Level ☐ Command Level						
☐ Executive Office Level ☐ Voluntary Self-Inspection						
Follow-up Required:	ection	Commande	er's Signature	:		Date:
For applicable policy, refer to: HPM 11.2, Chapter 3						
<ol> <li>Are all employees associated with the use of the Card program completing the CHP 78S, Confli- Interest Statement, Employee, form?</li> </ol>		⊠ Yes	☐ No	□ N/A	Remarks	
Are STD. 21 Drug Free Workplace certification maintained within the Cal Card command file for each vendor utilized?		⊠ Yes	□ No	□ N/A	21's are valid years and ar contact with	.2, Chapter 3, 6(b) STD d for a period of three e obtained at initial supplier. STD 317 a valid STD 21 is on file.
<ol> <li>Are STD. 204 Payee Data Record forms maint in the Cal Card command file for each vendor utilized?</li> </ol>	ained	⊠ Yes	□ No	□ N/A	Remarks: Certification received was	that STD 204 has been s completed
Are California Integrated Waste Management I Form 74 documents maintained for each vendoutilized?		⊠ Yes	□ No	□ N/A		that documents have d was completed.
5. If the vendor is a small business or DVBE is ut is the certification letter from the Department or General Services maintained in the file?		⊠ Yes	□ No	□ N/A		that fair and reasonable used has been
6. When fair and reasonable is utilized, is the fair reasonable method documented and properly justified?		⊠ Yes	□ No	□ N/A	buyer has ce acquisition is	.2, Chapter 3 6a(6) the stiffied that the cost of the deemed fair and on the CHP 317
7. Are purchases split into multiple transactions in to circumvent transaction purchase limits?	order	☐ Yes	⊠ No	□ N/A	Remarks	
8. Does the CHP 317 Cal Card Log fully describe purchase?	the	⊠ Yes	□ No	□ N/A	Remarks:	

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:
10.	Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks;
11.	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12.	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	□ No	⊠ N/A	Remarks:
13.	Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks;
15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

All purchases from December 2007 and June 2008 were reviewed as part of this inspection.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: BSS (076)	Division: ASD	Chapter: 3
Inspected by:		Date:
M. Baude; T. Anderson		November 21, 2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		□ Corrective Action Plan Included		
☐ Division Level ☐ Command Level		Appeal Included		
☐ Executive Office Level		Attachments Included  Commander's Signature:  Date:		
Follow-up Required:	Forward to: Lisa Paolini, Chief ASD Due Date: December 22, 2008	Commander's Signature:	Date:	
Chapter Inspection: Command Procurements, Chapter 3				
Inspector's Comments Regarding Innovative Practices:				
HISPECIOLS COMMENTS REGARDING IMPOVATIVE FLACTICES.				

N/A

### Command Suggestions for Statewide Improvement:

The inspector's checklist that is provided to assist in the review requires actions by the command that are not necessarily supported by state and/or Department policy. Broad terms such as "file documentation" or "command file" that is not defined in policy may be difficult for commands to ascertain because the experience and knowledge of state procurement rules and regulations are lacking. The checklist also requested items for the command file that are not required with every purchase (STD 204, STD 21) and is not consistent with the practices currently employed by the Department. For instance, the CHP 317, Cal Card Log, has boxes to certify the required forms are on file and any required certification has been submitted. The process is not outlined in the inspection checklist.

It is suggested that the inspection checklist be re-examined and written in a format that is consistent with the policy as it is stated in HPM. Another suggestion would be that the verbiage used in the inspection checklist be consistent with the language used by the BSS during the command and Procurement Training that is being presented to all commands. It is sometimes difficult for staff to determine what is being asked when staffs from two units are not speaking the same language.

#### Inspector's Findings:

Business Services Section BSS is the OPI for all four of the procurement areas examined and are the central repository for contracts and purchasing files. All X Numbers and CAL-Card procurements are also routed through the section. When inspectors went to examine the files it was discovered that no central file was kept that was dedicated to the command. Files were stored in various locations throughout the command. Contract managers, purchasing documentation, and X Numbers were sometimes incomplete and/or non-existent. BSS should not rely on the central filling system and establish independent files that contain the requisite documentation for the command and maintain it separate from the agency-wide files. Doing so would allow for future examinations of the command records and ensure that all documentation that may be required in any future audit is available.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
BSS (076)	ASD	3
Inspected by:		Date:
M. Baude; T. Anderson		November 21, 2008

#### Page 2

#### Commander's Response:

Business Services Section is in agreement with the assessment of the inspection and is taking the necessary steps to require command files for all procurements that are unique to the section. A prototype file is being developed which will be disseminated to managers and supervisors in December 2008. Examples and procedures for purchase orders will be disseminated shortly thereafter.

#### Inspector's Comments:

A follow-up inspection should be initiated to ensure that separate command files are established by June 2009. This should allow for sufficient documentation to exist which would allow for a complete examination. All X Numbers, contracts, and purchases made from December 1, 2008 through the date of the inspection should be examined for adherence to the state and/or departmental policy which existed at the time of the procurement.

### Required Action: Develop files unique to Command 076

Corrective Action Plan/Timeline

- December 2008 Develop prototype contract file and disseminate to all command managers and supervisors during December 2008 meeting.
- December 2008 Develop prototype X Number file and disseminate by the January 2009 command manager and supervisors meeting.
- December 2008 Develop command requisition procedures as it relates to purchasing and disseminate to all command managers and supervisors by the January 2009 meeting.

June 30 2009 - Follow-up Command Inspection completed

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal: N/A

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter
BSS (076)	ASD	3
Inspected by:		Date:
M. Baude; T. An	derson	November 21, 2008

Page 3

Appeal Review/Decision: (This shall be the only level of appeal).		
N/A		
Lead Inspector's Signature:	Date:	
Responding Commander's Şignature (for appeal):	Date:	

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: BSS (076)	Division: ASD	Chapter: 4
Inspected by: M.Baude, T. Anderson, N. Killion,		Date: November 6, 2008
D, Wiliams		

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included Executive Office Level ☐ Attachments Included Forward to: Commander's Signature: Date: Follow-up Required: Lisa Paolin, Chief ASD Due Date: ☐ Yes ⊠ No December 22, 2008 Chapter Inspection: Fiscal Components, Chapter 4 Inspector's Comments Regarding Innovative Practices: N/A Command Suggestions for Statewide Improvement: N/A Inspector's Findings: Business Services Section does not receive nor does it prepare collections. There is also no petty cash or safe that needs to be accounted for. Commander's Response: N/A Inspector's Comments:

N/A

Required Action: N/A

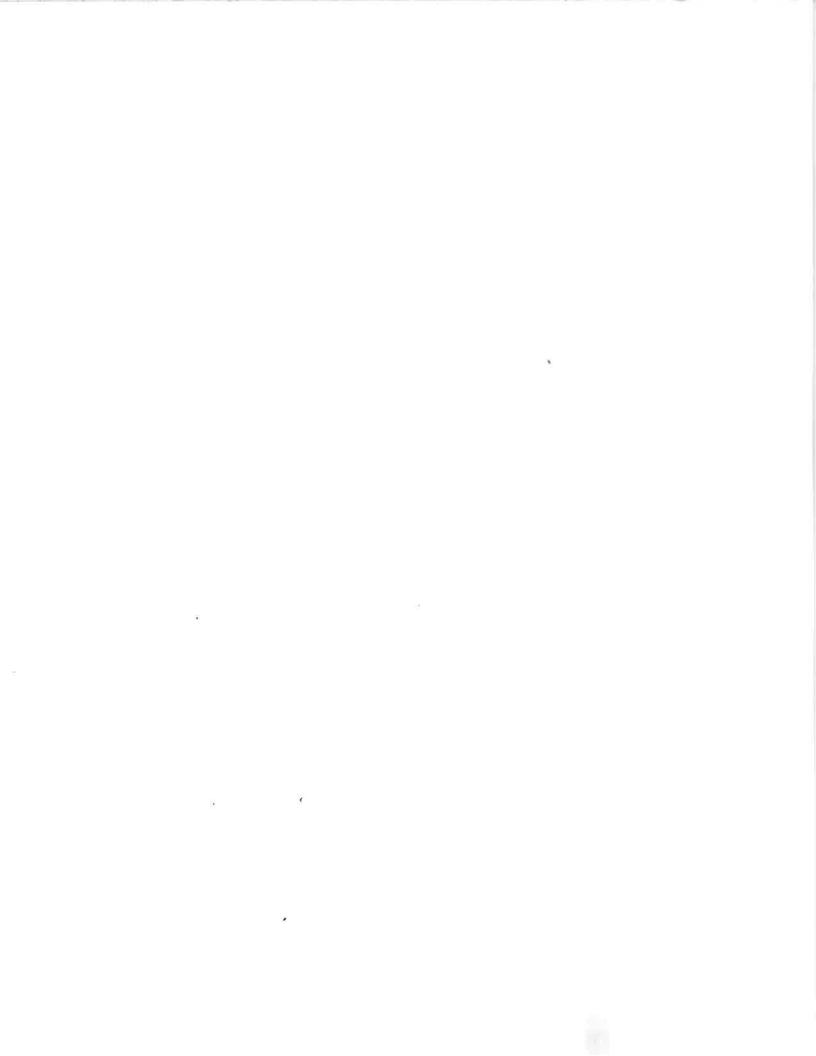
Corrective Action Plan/Timeline

N/A

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT Page 2

Command: BSS (076)	Division: ASD	Chapter: 4
Inspected by: M.Baude, T. Anderson, N. Killion,		Date: November 6, 2008
D. Wiliams		

Appeal Process: (Appeals shall be filed within five (5) but	siness days of the completed chapter inspection).
Commander's Basis for Appeal: N/A	
Appeal Review/Decision: (This shall be the only level of	of appeal).
N/A	>20
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:



STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
BSS (076)	ASD	
Evaluated by:	•	Date:
T. L. Anderson	November 21,2008	
Assisted by:		Date:
		November 21,2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	1		Lead Inspector's Signature:					
☐ Division Level		⊠ Command Level						
Executive Offic	e Level	☐ Voluntary Self-Inspection						
Follow-up Ro ⊠ Yes	equired:	Follow-up Inspection	Commande	er's Signature	:		Date:	
For applicable po	licy, refer to:	HPM 11.1, Chapter 22						
service co		quest used to initiate all ire repetitive, regardless of e?	Yes No N/A Remarks: Unable to dete				nable to determine	
	78 Contract Re ceeding \$4,99	equest used for one-time 99.99?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine		
numbering three-digit	beginning with location code	nterest (OPI) tracking in the requesting command used, followed by " <u>CP" for</u> in the CHP 78?	☐ Yes	⊠ No	□ N/A	Remarks;		
Is the performant document		tract services monitored	☐ Yes	□ No	□ N/A	Remarks: U	nable to determine	
5. Are all cop maintained		ondence with the vendor	☐ Yes	☐ No	□ N/A	Remarks: U	nable to determine.	
which outli		ocumented and maintained ns related to substandard or endor?	☐ Yes	□No	⊠ N/A	Remarks: N	o problems reported	
		delivered described ch detail as possible in the	☐ Yes	□No	□ N/A	Remarks: U	nable to determine.	
including the for expedite	e required doo and emerger	approval/signature obtained, cumentation and approvals acy contracts per HPM 11.1, rding the CHP 78 or CHP	☐ Yes	□ No	□ N/A	Remarks: U	nable to determine.	

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine
10.	Is all work completed and accepted by the Department before expiration of contract agreement?	☐ Yes	□No	⊠ N/A	Remarks: All contracts reviewed were not yet expired.
11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine
12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	☐ Yes	□No	□ N/A	Remarks: Unable to determine,
13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine.
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	□No	⊠ N/A	Remarks: All contracts reviewed were not yet expired.
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	□No	⊠ N/A	Remarks: All contracts reviewed were not yet expired.
16.	Are all applicable form sections of the CHP 78 completed?	☐ Yes	□No	□ N/A	Remarks: Unable to determine
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks: No emergency contracts reviewed.
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	□ N/A	Remarks: Unable to determine
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks: No problems reported.
20.	Are contract amendment request dollar amounts increased more than 30%?	□Yes	⊠ No	□ N/A	Remarks

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks: No room rental contracts were reviewed.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks: No room rental contracts were reviewed.
Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:      Avionics Maintenance and Repair	☐ Yes	□ No	□ N/A	Remarks: Unable to determine
<ul> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	☐ Yes	□ No	□ N/A	Remarks: Unable to determine.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine
28	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	□ N/A	Remarks: Unable to determine,
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	☐ Yes	⊠ No	□ N/A	Remarks: No relevant documentation available except for one contract.
	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	☐ No	⊠ N/A	Remarks: Unable to determine.
31.	Is a computer file prepared for all contracts administered?	☐ Yes	□ No	⊠ N/A	Remarks: Unable to determine.
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	☐ No	⊠ N/A	Remarks: Only one contract contained a spreadsheet listing expenditures.
33.	Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks: Unable to determine
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks: Unable to determine
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks: No consultant contracts were reviewed.
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks: No consultant contracts were reviewed.
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks: For those files reviewed
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	☐ No	□ N/A	Remarks: For those files reviewed.
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks For those files reviewed

Remarks:

⊠ N/A

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

Command: BSS (076)	Division: ASD	Number:
	ASD	
Evaluated by:		Date:
Mark Baude		November 13, 2008
Assisted by:		Date:
		November 13, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ☐ Division Level Command Level ☐ Office of Inspections □ Voluntary Self-Inspection Commander's Signature: Date Follow-up Required: Follow-Up Inspection ⊠ No ☐ Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: approving paperwork related to receiving and Yes ☐ No N/A Command does not receive nor preparing collections? prepare collections Does the command have Standard Operating Remarks: Procedures (SOP) to provide necessary guidelines □ No ⊠ N/A ☐ Yes for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: duties for collections received? ☐ Yes No ⊠ N/A 4. Does the command have adequate separation of Remarks: ⋈ N/A duties for the cash receipt process? Yes □ No 5. Is access to the safe and/or vault appropriately Remarks: Command has no safe. ⊠ N/A ☐ Yes □ No 6. Does a record exists which identifies who has access Remarks: to the safe and/or vault and when changes in access Yes ☐ No N/A occur? 7. Was the lock combination changed when an excess Remarks: number of employees were aware of the ☐ Yes ☐ No ⊠ N/A combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: ☐ Yes ⊠ N/A □No 9. Are weekly transmittal reports prepared in Remarks: ⊠ N/A accordance with departmental policy? ☐ Yes ☐ No 10. Is the weekly transmittal report(s) submitted to Fiscal

Yes

□No

Management Section (FMS) within five working days

following the week covered by the report?

### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

	/III			
<ul> <li>11. Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>(1) CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>(2) CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> </ul>	☐ Yes	□ No	□ N/A	Remarks:
<ul> <li>(3) STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>(4) CHP 221, Malicious Damage Report.</li> <li>(5) CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> </ul>				×
(6) Civil subpoena.				
12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□No	⊠ N/A	Remarks: Command has does not have a petty cash fund nor receipts cash.
13. Does the command ensure the information written on the counter receipt is complete and legible?	☐ Yes	☐ No	⊠ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	☐ Yes	□No	⊠ N/A	Remarks
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	□No	⊠ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□No	⊠ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	☐ No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	☐ Yes	□No	⊠ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	☐ No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	☐ No	⊠ N/A	Remarks:
22. Is the CHP 264 properly authorized?	☐ Yes	☐ No	⊠ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	☐ Yes	□No	⊠ N/A	Remarks.
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	□ Ves	Г∃Мо	N/A	Remarks

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	□No	⊠ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	☐ No	⊠ N/A	Remarks:
28. Are all petty cash purchases under \$50?	☐ Yes	□No	⊠ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	□No	⊠ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	□No	⊠ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	☐ Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command: BSS (076)	Division: ASD	Number:		
Evaluated by:		Date:		
T. L. Anderson		November 21, 2008		
Assisted by:		Date:		
		November 21, 2008		

applicated discrepa	ole legal statues, or deficiencie ancies and/or deficiencies sha more, the Exceptions Docume	tems with "Yes" or "No" answers es noted in the inspections shall Il be documented on an Exception nt shall include any follow-up an box shall be marked and only d	be comment ons Document d/or correct	ited on via thent and addrive action(s)	ne "Remark essed to th taken. If t	s" section. A ne next level of his form is us	dditionally, such of command.	
TYPE O	FINSPECTION		Lead Inspe	ctor's Signatu	ıre:			
☐ Divi	sion Level	☑ Command Level						
☐ Exe	cutive Office Level	Voluntary Self-Inspection						
	llow-up Required: ] Yes	☐ Follow-up Inspection	Commande	er's Signature			Date:	
For ap	plicable policy, refer to:	HPM 11.2, Chapter 7						
1	Are participants in the pro command level familiar wi procedures for purchasing	th the related policies and	⊠ Yes	□No	□ N/A	Remarks: Commander and staff training has either been taken or with be scheduled to be taken.		
2.	Have Approvers/reviewers procurement training?	s of purchases received	⊠ Yes	□No	□ N/A	Remarks: Same as above.		
3.	Are prohibited items procu Requisitions?	ured on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:		
	<ul> <li>Supplies for perso</li> <li>Commodities for person</li> <li>Confirming order</li> <li>Purchases via the</li> </ul>							
4.	Are separate CHP 43s, Puprepared for commodity it different suppliers or from commodity contracts?	ems obtainable from	☐ Yes	□ No	⊠ N/A	Remarks;		
5.	Is all required information Purchase Requisition?	entered on the CHP 43,	⊠ Yes	☐ No	□ N/A	Remarks:		
6.	Are the CHP 43, Purchase consecutively, starting and fiscal year (July 1)?	e Requisitions, numbered ew at the beginning of each	⊠ Yes	□No	□ N/A	Remarks:		
7.	Are expedited requests fo forwarded to the Assistant approval?		☐ Yes	□No	⊠ N/A	Remarks: N were reviews	o expedited requests ed.	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	☐ Yes	□No	□ N/A	Remarks: Not enough documentation available to review.
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	□No	□ N/A	Remarks: The CHP 315 was not consistently available
11	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks: No LCB purchases were reviewed.
12	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□No	⊠ N/A	Remarks: See above.
13	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks: No NCB purchases were reviewed.
14	Are items checked immediately for content and damage when delivered?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
15	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
16	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	□No	□ N/A	Remarks: Unable to determine
17	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine.
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
19	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks: No damaged items were received.

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
21	. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks: Verbally by BSS support staff.
22	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	☐ Yes	□ No	□ N/A	Remarks: Unable to determine.
23	. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	☐ Yes	□No	□ N/A	Remarks: Not enough documentation available for review
24	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Rublic Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
BSS (076)	ASD	
Evaluated by:		Date:
Mark Baude		November 13, 2008
Assisted by:		Date:
Norma Killion		November 13, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature ☐ Division Level Command Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature: Date Follow-up Required: Follow-up Inspection ⊠ Yes No For applicable policy, refer to: HPM 11.1, Chapter 23 1. Are multiple X Numbers awarded to the same vendor Remarks: to circumvent the \$4.999 contract limit? Yes ⊠ No  $\square$  N/A Does all X Number file documentation contain the Remarks: HPM 11.1, Chapter 23 1(c) ⊠ N/A STD. 204 Payee Data Record? ☐ Yes □No states that "The office originating the CHP 78X, X Number Service Order, should retain a copy of the STD 204, Payee Data Record, for audit purposes." There is no requirement that documentation must contain the STD 204. Chapter 23 6(g) "states, "the requestor shall maintain one copy of the CHP 78X, X Number Service Order, and corresponding invoice for the command file ' 3. Do X Numbers requiring a contract (i.e., janitorial or Remarks: □ N/A landscaping) have prior approval from the Business X Yes □ No Services Section commander? 4. Are X Number requests made prior to the date the Remarks: services are performed? ⊠ Yes □No □ N/A 5. Are X Numbers issued for a one-time use? Remarks: □ N/A □No 6. Are prohibited services performed using an X Remarks: Number? Yes ⊠ No □ N/A 7. Are X Numbers used for the procurement of a Remarks: ⊠ Yes □ N/A service and not the purchase of a commodity? □ No 8. Are X Numbers issued for telecommunications Remarks: related services pre-approved by □No ⊠ N/A ☐ Yes Telecommunications Section?

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	☐ Yes	□No	⊠ N/A	Remarks:
10	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□ No	⊠ N/A	Remarks:
11	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	☐ No	⊠ N/A	Remarks:
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	☐ Yes	□No	⊠ N/A	Remarks:
13	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	☐ Yes	□No	⊠ N/A	Remarks: Chapter 23 6(g) "states, "the requestor shall maintain one copy of the CHP 78X, X Number Service Order, and corresponding invoice for the command file." HPM does state that a STD 21 should be obtained (Chapter 23 5(d) but does not specify where.
14	Do emergency service X Numbers document and justify the emergency?	☐ Yes	☐ No	⊠ N/A	Remarks:
15	Is the itemized invoice for each X Number service maintained in the command's files?	☐ Yes	⊠ No	□ N/A	Remarks:

Chapter 23 6(g) "states, "the requestor shall maintain one copy of the CHP 78X, X Number Service Order, and corresponding invoice for the command file." Chapter 23 of HPM 11.1, makes no reference to what should be contained as file documentation outside of what is referenced in the above mentioned Sections so no observations could be reported for a requirement that is not documented. Chapter 23 makes reference that the STD 21, Drug-Free Workplace Certification, STD 204, Payee Data Record, a Department of General Services (DGS) Office of Small Business and Disabled Veteran-owned Business Enterprise Services certification printout from the DGS website should be retained but makes no reference in what fashion that should occur or where. Because policy does not fully discuss this requirement no observation was noted.

Since Business Services Section is the OPI for the X Numbers, separate "command files" were not established. Effective immediately, separate files that contain the required documentation will occur.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:		
HRS (077) ASD		3		
Inspected by:	101	Date:		
D. Williams; T. A	nderson	December 22, 2008		

number of the inspection in the Chapte shall be routed to and its due date. The	r Inspection number. Under "Fo is document shall be utilized to c	rward to:" enter the next level of command wher document innovative practices, suggestions for some used to appeal findings. A CHP 51 Memoran	e the document statewide				
TYPE OF INSPECTION   Corrective Action Plan Included							
☐ Division Level ☐ Command L	evel	Appeal Included					
☐ Executive Office Level		Attachments Included					
Follow-up Required:	Forward to: Lisa Paolini, Chief ASD Due Date: December 22, 2008	Commander's Signature:	Date:				
Chapter Inspection: Command	Procurements, Chapter 3						
Chapter Inspection: Command Procurements, Chapter 3 Inspector's Comments Regarding Innovative Practices:  N/A							
Command Suggestions for S N/A	tatewide Improvement:						

This command is in the processes of reorganizing from its own Division into a section within ASD. As expected, the files and their layout has not yet been fully determined. In addition, the SOP is currently being revised to reflect the new organization.

Most of the files were adequate. However, the inspection team does recommend a follow-up in all areas once the command is fully reorganized and the SOP and file decisions have been made. At the very least, a follow up to the contract and CAL-Card inspections should occur. The contract files lacked documentation and consistency. The CAL-Card inspection showed various areas in need of corrective action/training as described below:

- In reviewing the August 2007 CAL-Card statement, it was noted that a credit invoice for \$24.96 was not included with the statement.
- In reviewing the September 2007 CAL-Card statement, the supplier processed three individual orders for \$995.61, \$995.61 and \$560.19 although the cardholder's single purchase limit was increased to allow the entire purchase to process at once.
- In reviewing the November 2007, February 2008 and March 2008 CAL-Card statements, there were no OPI approvals for the purchase of an optical mouse (2), power strips.
- In reviewing the February 2008 CAL-Card, there was a deposit paid to the supplier, Awards by Kay. The CAL-Card should not be used to advance payment to suppliers prior to receipt of the final merchandise.

Inspector's Findings:

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command: Division: HRS (077) ASD		Chapter:		
Inspected by:	•	Date		
D. Williams; T. A	Inderson	December 22, 2008		

Page 2	
Commander's Response:	
Inspector's Comments:	
Required Action:	
Corrective Action Plan/Timeline	
Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
у предоставления пред	
Annual Daview/Davier	
Appeal Review/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:		
HRS (077) ASD		4		
Inspected by:		Date:		
T. L. Anderson		December 22, 2008		

number of the inspection in the Chapte shall be routed to and its due date. The	er Inspection number. Under "Fis document shall be utilized to	oxes as necessary, or fill in the blanks as indica orward to:" enter the next level of command who document innovative practices, suggestions for be used to appeal findings. A CHP 51 Memora	ere the document statewide		
TYPE OF INSPECTION		☐ Corrective Action Plan Included			
☐ Division Level ☒ Command L	∟evel	Appeal Included			
☐ Executive Office Level		Attachments Included			
Follow-up Required:	Forward to: Lisa Paolin, Chief ASD Due Date: December 22, 2008	Commander's Signature:	Date:		
Chapter Inspection: Fiscal Com	ponents, Chapter 4				
Inspector's Comments Regar	ding Innovative Practic	es:			
N/A					
Command Suggestions for S	tatewide Improvement:				
N/A					
Inspector's Findings:					
Human Resources Section do or safe that needs to be acco		s it prepare collections. There is als	o no petty cash		
Commander's Response:					
N/A					
Inspector's Comments:					
N/A					
Required Action: N/A					
Corrective Action Plan/Timeline					

N/A

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 2

Command: Division: HRS (077) ASD		Chapter: 4			
Inspected by:		Date:			
T. L. Anderson		December 22, 2008			

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).					
Commander's Basis for Appeal: N/A					
Continuation 3 Dasis for Appeal. 14/A					
Appeal Review/Decision: (This shall be the only level of appeal).					
N/A					
Lead Inspector's Signature:	Date:				
Responding Commander's Signature (for appeal):	Date:				

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Division: HRS (077) ASD		Number:		
Evaluated by:	Date:			
Dornetta Williams		December 16, 2008		
Assisted by:		Date:		
Terri Anderson		December 16, 2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature						
☐ Division Level ☐ Command Level									
☐ Executive Office Level ☐ Voluntary Self-Inspection									
	Follow-up Red	quired: ⊠ No	Follow-up Inspection	Commande	er's Signature			Date:	
	For applicable poli	cy, refer to: H	PM 11.2, Chapter 3						
	Card program	m completing the ement, Employe		☐ Yes	□No	⊠ N/A	1	t present, the CHP 785 i incorporated into CAL	
		within the Cal Ca	kplace certifications ard command file for	⊠ Yes	□ No	□ N/A	21's are valid years and ar contact with	.2, Chapter 3, 6(b) STE d for a period of three e obtained at initial supplier. CHP 317, CA artifies that a valid STD	AL-
			Record forms maintained e for each vendor	⊠ Yes	□No	□ N/A	204's are val years and ar contact with	2, Chapter 3, 6(b) Std lid for a period of three e obtained at initial supplier CHP 317, CA artifies that a valid STD	AL:
			aste Management Board ned for each vendor	☐ Yes	⊠ No	□ N/A	in February 2 on file for the	negan capturing Form 7 2008. The form was no period beginning July n January 2008.	ot
	is the certific		ness or DVBE is utilized, the Department of d in the file?	⊠ Yes	□No	□ N/A		HP 317, CAL-Card Log the supplier certificatio	
	reasonable n justified?	nethod docume	utilized, is the fair and nted and properly	⊠ Yes	□No	□ N/A	6a(6) the buy	er HPM 11.2, Chapter yer has certified that the equisition is deemed fa ble on the CHP 317.	е
		es split into mult t transaction pu	iple transactions in order rchase limits?	☐ Yes	⊠ No	□ N/A	made to incre single purcha	ne-time only request ease the cardholder's ase limit to process	7

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:
10	Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks: Missing one credit invoice for -\$24.96 in August 2007
12.	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	☐ No	⊠ N/A	Remarks:
13.	Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks: Commander's pre- approval documentation began in May 2008.
15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks: A CHP 317A is on file for all of the HRS cardholders, certifying they have been trained on CAL-Card policy.
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks: Several computer component purchases were made where there is no documentation of pre-approval from the OPI, November 2007 and February 2008.

All purchases for July 2007 through June 2008 were reviewed as part of this inspection.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

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Command: HRS (077)	Division: ASD	Number
Evaluated by: T. L. Anderson		Date: December 22, 2008
Assisted by:		Date: December 22, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.						
TYPE OF INSPECTION		Lead Inspe	ctor's Signatu	re:		
☐ Division Level ☐ Command L	evel		Č			
☐ Executive Office Level ☐ Voluntary Se	elf-Inspection					
Follow-up Required:	Inspection	Commande	er's Signature:			Date:
For applicable policy, refer to: HPM 11.1, C	hapter 22					
<ol> <li>Is a CHP 78 Contract Request used to in service contracts which are repetitive, re the estimated dollar value?</li> </ol>		☐ Yes	□No	□ N/A		HP 78 was not available for review.
<ol><li>Is a CHP 78 Contract Request used for services exceeding \$4,999.99?</li></ol>	one-time	☐ Yes	□No	□ N/A		HP 78 was not available for review.
<ol> <li>Is the Office of Primary Interest (OPI) transmitted numbering beginning with the requesting three-digit location code used, followed contract payable listed on the CHP 78?</li> </ol>	command	☐ Yes	□ No	□ N/A	Remarks: CHP 78 was not consistently available for review.	
4. Is the performance of contract services and documented?	monitored	☐ Yes	□No	□ N/A	Remarks: Unable to determine. Most files consisted of invoices and contract only.	
5. Are all copies of correspondence with th maintained?	e vendor	☐ Yes	□ No	□ N/A	Remarks: See above	
6. Are letters for contracts documented and which outline any problems related to su non-performance of the vendor?		☐ Yes	□No	⊠ N/A	Remarks: No	problems reported.
<ol> <li>Is the final product to be delivered descr specifically and in as much detail as pos CHP 78?</li> </ol>		☐ Yes	□No	□ N/A		HP 78 was not vailable for review.
8. Are all required levels of approval/signat including the required documentation an for expedite and emergency contracts per Chapter 22, before forwarding the CHP 78A?	d approvals er HPM 11.1,	☐ Yes	□ No	□ N/A		HP 78 was not available for review

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### **COMMAND INSPECTION PROGRAM**

**INSPECTION CHECKLIST** 

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	□ N/A	Remarks: CHP 78 was not consistently available for review,
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	□No	□ N/A	Remarks: Unable to determine, Most files consisted of invoices and contract only.
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□No	□ N/A	Remarks: A spreadsheet showing expenditures was not consistent in the files reviewed.
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine.
16. Are all applicable form sections of the CHP 78 completed?	☐ Yes	☐ No	□ N/A	Remarks: CHP 78 was not consistently available for review.
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks: No emergency contracts reviewed.
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks: No problems reported.
20. Are contract amendment request dollar amounts increased more than 30%?	□Yes	⊠ No	□ N/A	Remarks:

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks: No room rental contracts were reviewed,
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks: No room rental contracts were reviewed.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks: None of these types of agreements were reviewed.
<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	⊠ N/A	Remarks: None of these types of agreements were reviewed,
<ol> <li>Alarm and Fire Alarm Monitoring</li> <li>Camera Maintenance and Repair</li> <li>Carpet Installation</li> <li>Diesel Generator Maintenance and Repair</li> <li>Dishwasher Maintenance and Repair</li> <li>Elevator Maintenance and Repair</li> <li>Fire Extinguisher Service</li> <li>Garage Door Maintenance and Repair</li> <li>Graphic Arts Equipment Maintenance and Repair</li> <li>Heating, Ventilation, and Air Conditioning Service</li> <li>Laundry/Linen Service</li> <li>Office Machine Maintenance and Repair</li> <li>Painting Services (interior of facility)</li> <li>Plumbing Services</li> <li>Scale Maintenance and Repair</li> <li>Steam Cleaning Services (Carpet, not scales)</li> <li>Telephone Services (cellular, satellite, and regular)</li> <li>Television Equipment Maintenance and Repair</li> <li>Uninterruptible Power Supply Maintenance and Repair</li> </ol>				

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#### **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□No	⊠ N/A	Remarks: None of these types of agreements were reviewed.
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine.
31. Is a computer file prepared for all contracts administered?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
32, Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	□ N/A	Remarks: A spreadsheet showing expenditures was not consistent in the files reviewed.
33. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	□ N/A	Remarks: Most files contained the letter from CSU authorizing services.
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	□ N/A	Remarks: Unable to determine
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks: No consultant contracts were reviewed.
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks: No consultant contracts were reviewed.
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□ No	□ N/A	Remarks: Most files contained the STD 213 which documents GC 19130.
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	Yes	⊠ No	□ N/A	Remarks:

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#### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

Command:	Division:	Number:
HRS (077)	ASD	
Evaluated by:		Date:
T. L. Anderson		December 22, 2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level ☐ Division Level ☐ Voluntary Self-Inspection Office of Inspections Commander's Signature: Date Follow-up Required: Follow-Up Inspection ☐ Yes  $\bowtie$  No For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: ☐ No ⊠ N/A approving paperwork related to receiving and ☐ Yes Command does not receive nor preparing collections? prepare collections 2. Does the command have Standard Operating Remarks: N/A ☐ No ☐ Yes Procedures (SOP) to provide necessary guidelines for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks: ⊠ N/A Yes □ No duties for collections received? 4. Does the command have adequate separation of Remarks: □ No ⊠ N/A ☐ Yes duties for the cash receipt process? 5. Is access to the safe and/or vault appropriately Remarks: Command has no safe, N/A Yes □ No restricted? 6. Does a record exists which identifies who has access Remarks: □ No  $\bowtie$  N/A to the safe and/or vault and when changes in access ☐ Yes 7. Was the lock combination changed when an excess Remarks: ☐ Yes □ No  $\bowtie$  N/A number of employees were aware of the combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks:  $\bowtie$  N/A Yes No 9. Are weekly transmittal reports prepared in Remarks: No  $\bowtie$  N/A ☐ Yes accordance with departmental policy? 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks: ⊠ N/A Management Section (FMS) within five working days ☐ Yes □ No

following the week covered by the report?

#### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	☐ Yes	□No	⊠ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□No	⊠ N/A	Remarks: Command has does not have a petty cash fund nor receipts cash.
13. Does the command ensure the information written on the counter receipt is complete and legible?	☐ Yes	☐ No	⊠ N/A	Remarks:
14. Was a counter receipt issued for each witness fee deposit received?	☐ Yes	□No	⊠ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	☐ No	⊠ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	☐ No	⊠ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	□No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	☐ Yes	□No	⊠ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	☐ No	⊠ N/A	Remarks
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	☐ No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	□No	⊠ N/A	Remarks:
22. Is the CHP 264 properly authorized?	☐ Yes	□No	⊠ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	☐ Yes	□No	⊠ N/A	Remarks:
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	□Yes	П No	⊠ N/A	Remarks

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	Yes	☐ No	⊠ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	□No	⊠ N/A	Remarks:
28. Are all petty cash purchases under \$50?	☐ Yes	□No	⊠ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	□No	⊠ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	☐ No	⊠ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	☐ Yes	□No	⊠ N/A	Remarks:

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command: HRS (077)	Division: ASD	Number:
Evaluated by: T. L. Anderson		Date: December 22, 2008
Assisted by:		Date: December 22, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.					
TYPE OF INSPECTION	Lead Inspe	ctor's Signatu	re:		
	Louis more				
☐ Division Level ☐ Command Level					
☐ Executive Office Level ☐ Voluntary Self-Inspection					
Follow-up Required:  Yes No	Commande	er's Signature:		Date:	
For applicable policy, refer to: HPM 11.2, Chapter 7					
<ol> <li>Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?</li> </ol>	⊠ Yes	☐ No	□ N/A	Remarks: Commander and staff training has either been taken or will be scheduled to be taken.	
Have Approvers/reviewers of purchases received procurement training?	⊠ Yes	☐ No	□ N/A	Remarks: Same as above.	
<ol><li>Are prohibited items procured on CHP 43, Purchases Requisitions?</li></ol>	☐ Yes	⊠ No	□ N/A	Remarks	
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>					
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	☐ Yes	□ No	⊠ N/A	Remarks:	
5. Is all required information entered on the CHP 43, Purchase Requisition?	☐ Yes	⊠ No	□ N/A	Remarks: With the command using ReDS, this issue will resolve itself. Mainly coding was missing.	
<ol> <li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:	
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes	□No	⊠ N/A	Remarks: No expedited requests were reviewed.	

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

• 14 Table 1					
8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks: No LCB purchases were reviewed.
12,	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□No	⊠ N/A	Remarks: See above.
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	☐ No	⊠ N/A	Remarks: No NCB purchases were reviewed.
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	□No	□ N/A	Remarks: Unable to determine.
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	□ No	□ N/A	Remarks: Unable to determine.
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine.
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	☐ No	⊠ N/A	Remarks: No damaged items were received.
		1 1		III	

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□ No	⊠ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	☐ Yes	☐ No	□ N/A	Remarks: Unable to determine
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	☐ Yes	□No	□ N/A	Remarks: Unable to determine
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

One observation of the Inspection Team included two requisitions using the same vendor. The inspector was unable to determine why two requisitions were used when the items could have been requested on one requisition. No statute or policy was violated as the department would have conducted the procurement as it did. The only resultant difference would have been one purchase order issued instead of two.

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: HRS (077)	Division ASD	Number:
Evaluated by: Norma Killion	117	Date: December 16, 2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE O	FINSPECTION	Lead Inspe	ector's Signati	ure:			
☐ Div	ision Level						
☐ Exe	ecutive Office Level						
Fc	ollow-up Required: ☐ Yes	☐ Follow-up Inspection	Commando	er's Signature	): 		Date:
For ap	oplicable policy, refer to	: HPM 11.1, Chapter 23					
1.	Are multiple X Numbers to circumvent the \$4,99	awarded to the same vendor 9 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file of STD. 204 Payee Data R	documentation contain the lecord?	☐ Yes	⊠ No	□ N/A	Remarks: O STD 204 on	ne CHP 78X indicated file.
3.		a contract (i.e., janitorial or approval from the Business ander?	☐ Yes	☐ No	⊠ N/A	Remarks	
4.	Are X Number requests services are performed?	made prior to the date the	⊠ Yes	□No	□ N/A	Remarks	
5.	Are X Numbers issued f	or a one-time use?	⊠ Yes	☐ No	□ N/A	Remarks:	
6.	Number?	·	Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for service and not the purc		⊠ Yes	□No	□ N/A	Remarks:	
8.	Are X Numbers issued for related services pre-app Telecommunications Se	roved by	☐ Yes	□ No	⊠ N/A	Remarks:	
9.	Do X Numbers used for (such as roof repair, election as prior approval from	ctrical) costing over \$1,000	☐ Yes	□No	⊠ N/A	Remarks:	
10.	Do X Numbers issued for agreements have prior a Assistant Commissioner	pproval by the appropriate	☐ Yes	□ No	⊠ N/A	Remarks:	

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11.	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	☐ No	⊠ N/A	Remarks:
12.	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	☐ Yes	⊠ No	□ N/A	Remarks:
14.	Do emergency service X Numbers document and justify the emergency?	☐ Yes	□No	⊠ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks

Chapter 23 6(g) "states, "the requestor shall maintain one copy of the CHP 78X, X Number Service Order, and corresponding invoice for the command file." Chapter 23 of HPM 11.1, makes no reference to what should be contained as file documentation outside of what is referenced in the above mentioned Sections so no observations could be reported for a requirement that is not documented. Chapter 23 makes reference that the STD 21, Drug-Free Workplace Certification, STD 204, Payee Data Record, a Department of General Services (DGS) Office of Small Business and Disabled Veteran-owned Business Enterprise Services certification printout from the DGS website should be retained but makes no reference in what fashion that should occur or where. Because policy does not fully discuss this requirement no observation was noted.

Note: According to Business Services Section's records, seven (7) X numbers were issued from November 1, 2007 through October 31, 2008 for all Personnel Management Division (030) and sections. There were only two (2) files available for review.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
FAC (078)		
Inspected by:		Date:
D Williams / T.	Anderson	December 12, 2008

shall be routed to and its due date. Th	is document shall be utilized to o	document innovative practices, suggestions for some used to appeal findings. A CHP 51 Memoran	statewide		
TYPE OF INSPECTION  Division Level Command Level  Executive Office Level  Follow-up Required:  Yes No Forward to: Lisa Paolini, Chief ASD Due Date: December 22,2008		☐ Corrective Action Plan Included ☐ Appeal Included ☐ Attachments Included Commander's Signature: ☐ Date:			
Chapter Inspection: Command Procurements, Chapter 3 Inspector's Comments Regarding Innovative Practices:					
Command Suggestions for Statewide Improvement:					
Inspector's Findings:					

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter

While the command had established practices in place needed to monitor and track their procurement related expenditures, it would benefit the Division/command to define where the command files for X Numbers and contracts should be retained when the command is the approver of the invoices. Because Facilities Section is the OPI for facility related procurements and is also sometime the invoice approver, the Inspection Team is unable to determine where these command files should be retained. During this inspection, no OPI files were reviewed.

In reviewing the December 2007 through October 2008 CAL-Card statement, it was noted that the CHP 28, Voluntarily Statistical Data, was faxed to the supplier. However, the "For State Use Only" portion was not completed prior to providing the form to the supplier.

Cardholder shall complete the "For State Use Only" portion of the form indicating the CHP is purchasing Goods, the Total Contract/Purchase and Contract Award Date fields.

Note: Cardholder attended HQs Staff Level Procurement Training on December 3, 2008, where this information was reiterated to the group of attendees.

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command:	Division:	Chapter	
FAC (078)	ASD	3	
Inspected by: Anderson, Baude, Killion, Williams		Date: 12/12/2008	

Page 2

Commander's Response:	
Inspector's Comments:	
Required Action:	
The state of the s	
Corrective Action Plan/Timeline	

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command: FAC (078)	Division: ASD	Chapter:
Inspected by: Anderson, Baude	e, Killion, Williams	Date: 12/12/2008

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Appeal Review/Decision: (This shall be the only level of appeal).	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command: FAC (078)	Division: ASD	Chapter: 4
Inspected by: M.Baude, T. Anderson, N. Killion,		Date: November 13, 2008
D, Wiliams		

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.			
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Command Level		☐ Appeal Included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to: Lisa Paolin, Chief ASD Due Date: December 22, 2008	Commander's Signature: Date:	
Chapter Inspection: Fiscal Com	ponents, Chapter 4		
Inspector's Comments Regar	rding Innovative Practice	es:	
N/A			
Command Suggestions for S	tatewide Improvement:		
N/A			
Inspector's Findings:			
Facilities Section does not re that needs to be accounted for		e collections. There is also no petty	y cash or safe
Commander's Response:			
N/A			
Inspector's Comments:			
N/A			
Required Action: N/A			
Corrective Action Plan/Timeli	ne	1 (0)	

N/A

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Page 2

Command: FAC (078)	Division: ASD	Chapter: 4
Inspected by: M.Baude, T. And	derson, N. Killion,	Date: November 13, 2008
D. Wiliams	N 25	

Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal: N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	in the second se
Lead Inspector's Signature:	Date;
Responding Commander's Signature (for appeal):	Date:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: FAC (078)	Division: ASD	Number;
Evaluated by:	1.	Date:
Dornetta Williams		December 12, 2008
Assisted by:		Date:
Terri Anderson		December 12, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspe	ector's Signatu	ıre	
☐ Division Level ☐ Command Level				
☐ Executive Office Level ☐ Voluntary Self-Inspection				
Follow-up Required:	Command	er's Signature	:	Date:
For applicable policy, refer to: HPM 11.2, Chapter 3				
<ol> <li>Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?</li> </ol>	☐ Yes	□No	⊠ N/A	Remarks: At present, the CHP 78S has not been incorporated into CAL-Card policy.
<ol> <li>Are STD, 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks: Per HPM 11.2, Chapter 3, 6(b) STD 21's are valid for a period of three years and are obtained at initial contact with supplier. CHP 317, CAL- Card Log, certifies that a valid STD 21 is on file.
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks: Per HPM 11.2, Chapter 3, 6(b) STD 204's are valid for a period of three years and are obtained at initial contact with supplier. CHP 317, CALCard Log, certifies that a valid STD 204 is on file.
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	☐ No	□ N/A	Remarks: A Form 74 was completed as applicable.
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks: Per HPM 11.2, Chapter 3, 6(d) the CAL-Card Program Coordinator maintains a database of of certified suppliers whose documentation is already on file. CHP 317, CAL-Card Log, certifies that a valid certification is on file.
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□ No	□ N/A	Remarks: Per HPM 11.2, Chapter 3 6a(6) the buyer has certified that the cost of the acquisition is deemed fair and reasonable on the CHP 317.

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks
10.	Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks
11.	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12.	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	□ No	⊠ N/A	Remarks:
13.	Are Cal Cards maintained in a secure area?	⊠ Yes	☐ No	□ N/A	Remarks:
14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks: A CHP 317A is on file for all of the FS cardholders, certifying they have been trained on CAL-Card policy.
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

All purchases for December 2007 through October 2008 were reviewed as part of this inspection.

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: FAC (078)	Division: ASD	Number:
Evaluated by:	**	Date:
T. L. Anderson		December 5, 2008
Assisted by:		Date:
77.		December 5, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF	INSPECTION	Lead Inspector's Signature:				
☐ Divis	sion Level					
☐ Exe	cutive Office Level					
Fol	llow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Command	er's Signature	;		Date:
For ap	plicable policy, refer to: HPM 11.1, Chapter 22				•	
1.	Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	☐ Yes	□No	⊠ N/A	Remarks:	
2.	Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	☐ Yes	□No	⊠ N/A	Remarks	
3.	Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	☐ Yes	□ No	⊠ N/A	Remarks:	
4,	Is the performance of contract services monitored and documented?	☐ Yes	☐ No	⊠ N/A	Remarks:	
5.	Are all copies of correspondence with the vendor maintained?	☐ Yes	☐ No	⊠ N/A	Remarks:	
	Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	☐ Yes	☐ No	⊠ N/A	Remarks:	
	Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	☐ Yes	□No	⊠ N/A	Remarks:	
	Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	☐ Yes	☐ No	⊠ N/A	Remarks:	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	☐ No	⊠ N/A	Remarks:
	. Is all work completed and accepted by the Department before expiration of contract agreement?	Yes	□No	⊠ N/A	Remarks.
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	□ No	⊠ N/A	Remarks:
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	☐ Yes	□No	⊠ N/A	Remarks:
13	Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	☐ Yes	□No	□ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	☐ No	⊠ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	□No	⊠ N/A	Remarks:
16.	Are all applicable form sections of the CHP 78 completed?	☐ Yes	□No	⊠ N/A	Remarks:
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	⊠ N/A	Remarks:
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks: No problems reported
20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	П No	⊠ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21	Is the length of the contract amendment request more than one year?	☐ Yes	☐ No	⊠ N/A	Remarks:
22.	Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair	☐ Yes	□ No	⊠ N/A	Remarks:
	<ul> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring	☐ Yes	□ No	⊠ N/A	Remarks:
	(2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility)				
	<ul> <li>(14) Plumbing Services</li> <li>(15) Scale Maintenance and Repair</li> <li>(16) Steam Cleaning Services (Carpet, not scales)</li> <li>(17) Telephone Services (cellular, satellite, and regular)</li> <li>(18) Television Equipment Maintenance and Repair</li> <li>(19)Uninterruptible Power Supply Maintenance and Repair</li> </ul>				

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27.	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	☐ No	⊠ N/A	Remarks
28.	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□ No	⊠ N/A	Remarks:
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
30.	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
31.	Is a computer file prepared for all contracts administered?	☐ Yes	□No	⊠ N/A	Remarks.
32.	Is a spreadsheet prepared listing all expenditures?	☐ Yes	☐ No	⊠ N/A	Remarks
33.	Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	☐ No	⊠ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks:
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	☐ Yes	☐ No	⊠ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	☐ No	⊠ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### INSPECTION PROGRAM

Chapter 4 Fiscal Controls

Command:	Division:	Number:
FAC (078)	ASD	
Evaluated by:		Date:
Mark Baude		November 13, 2008
Assisted by:		Date:
		November 13, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the memorandum shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION □ Command Level ☐ Division Level Office of Inspections □ Voluntary Self-Inspection Date: Commander's Signature: Follow-up Required: Follow-Up Inspection  $\boxtimes$  No ☐ Yes For applicable policies, refer to State Administrative Manual (SAM), HPM 11.1, Chapter 4, and HPM 11.2, Chapter 2. 1. Is management actively involved in reviewing and Remarks: Command does not ☐ Yes □ No  $\bowtie$  N/A approving paperwork related to receiving and receive nor prepare collections preparing collections? 2. Does the command have Standard Operating Remarks: ⊠ N/A Procedures (SOP) to provide necessary guidelines ☐ Yes □No for overall management and accountability of receiving and preparing collections? 3. Does the command have adequate separation of Remarks duties for collections received? Yes ☐ No N/A 4. Does the command have adequate separation of Remarks ⊠ N/A duties for the cash receipt process? ☐ Yes □ No 5. Is access to the safe and/or vault appropriately Remarks: Command has no safe. □ No N/A restricted? Yes 6. Does a record exists which identifies who has access Remarks: ☐ No ⊠ N/A to the safe and/or vault and when changes in access Yes occur? 7. Was the lock combination changed when an excess Remarks: number of employees were aware of the ☐ Yes □ No N/A combination, transferred out of the Area, or no longer requires access? 8. Is the safe securely anchored to the building? Remarks: ☐ Yes □ No ⊠ N/A Are weekly transmittal reports prepared in Remarks: ⊠ N/A accordance with departmental policy? Yes ☐ No 10. Is the weekly transmittal report(s) submitted to Fiscal Remarks:

□ No

Yes

⊠ N/A

Management Section (FMS) within five working days

following the week covered by the report?

#### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

<ol> <li>Does the command submit the following forms with the weekly transmittal when applicable?</li> <li>CHP 265, Sale of Discarded Tires/Junk Batteries/Used Rotors.</li> <li>CHP 36, Evidence/Property Receipt/Report (Unclaimed Property).</li> <li>STD 634, Absence and Additional Time Worked Report, for jury duty.</li> <li>CHP 221, Malicious Damage Report.</li> <li>CHP 464, Traffic Control Cost Estimate – Advance Deposit.</li> <li>Civil subpoena.</li> </ol>	☐ Yes	□No	⊠ N/A	Remarks:
12. Is a memorandum for cash shortages prepared if necessary?	☐ Yes	□No	⊠ N/A	Remarks: Command has does not have a petty cash fund nor receipts cash.
13. Does the command ensure the information written on the counter receipt is complete and legible?	☐ Yes	□No	⊠ N/A	Remarks
14. Was a counter receipt issued for each witness fee deposit received?	☐ Yes	□No	⊠ N/A	Remarks:
15. Was a counter receipt issued for each movie, wide-load, and special event detail(s)?	☐ Yes	☐ No	⊠ N/A	Remarks:
16. Was each counter receipt issued for each sale, including the sale of discarded tires, junk batteries, used rotors, and other cash received?	☐ Yes	□ No	⊠ N/A	Remarks:
17. Is sales tax added to items that are not for resale?	☐ Yes	☐ No	⊠ N/A	Remarks:
18. Are all counter receipts pre-numbered and issued in numerical sequence?	☐ Yes	□No	⊠ N/A	Remarks:
19. Were transfers of counter receipt books/certificates between field commands reported on a CHP 266A, Credit Memo - Non- Equipment?	☐ Yes	□No	⊠ N/A	Remarks:
20. Is the STD 439, Disbursement Voucher, properly authorized and completed to support expenditure?	☐ Yes	□No	⊠ N/A	Remarks:
21. Are the CHP 264, Petty Cash Replenishment Requests, completed at least monthly if over \$10.00, quarterly if under \$10.00, and on June 30 of each fiscal year?	☐ Yes	□No	⊠ N/A	Remarks:
22. Is the CHP 264 properly authorized?	☐ Yes	□No	⊠ N/A	Remarks:
23. Does the total amount of cash, receipts on hand, and receipts in transit equal the total of petty cash and change funds?	☐ Yes	□No	⊠ N/A	Remarks
24. Is there documentation to support periodic reviews of petty cash and change funds performed by the commander or designated person?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are overages and shortages of the petty cash funds reported to Fiscal Management Section?	☐ Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **INSPECTION PROGRAM**

Chapter 4
Fiscal Controls

26. Were change funds used to cash checks, money orders or cashier/travelers checks?	☐ Yes	☐ No	⊠ N/A	Remarks:
27. Are change funds over \$100 and petty cash funds over \$200 kept in a safe, vault, or money chest adequate to safeguard cash?	☐ Yes	☐ No	⊠ N/A	Remarks:
28. Are all petty cash purchases under \$50?	☐ Yes	□No	⊠ N/A	Remarks:
29. Is petty cash used to purchase prohibited items?	☐ Yes	□ No	⊠ N/A	Remarks:
30. Did the command circumvent the dollar limitation by splitting the purchase?	☐ Yes	□No	⊠ N/A	Remarks:
31. Is a petty cash custodian designated by the commander?	☐ Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command: FAC (078)	Division: ASD	Number:
Evaluated by: T. L. Anderson		Date: December 5, 2008
Assisted by:		Date: December 5, 2008

applica discrep Further	ble legal statues, or deficiencie ancies and/or deficiencies shal more, the Exceptions Documel	tems with "Yes" or "No" answers is noted in the inspections shall if be documented on an Exception shall include any follow-up and box shall be marked and only d	be commer ons Docume d/or correct	nted on via the ent and addr iive action(s)	ne "Remark essed to th taken. If t	s" section. / ne next level his form is u	Additionally, such of command
TYPE O	F INSPECTION		Lead Inspe	ctor's Signatu	ire:		
☐ Div	ision Level	Command Level					
☐ Exe	ecutive Office Level	Voluntary Self-Inspection					
Fo	llow-up Required: ]Yes   ⊠ No	☐ Follow-up Inspection	Commander's Signature: Date:			Date:	
For ap	oplicable policy, refer to:	HPM 11.2, Chapter 7					
1.	Are participants in the proceommand level familiar with procedures for purchasing	th the related policies and	⊠ Yes	☐ No	□ N/A	Remarks:	
2.	Have Approvers/reviewers procurement training?	of purchases received	⊠ Yes	□No	□ N/A	Remarks:	
3.	Are prohibited items procu Requisitions?	red on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks	
	<ul><li>Supplies for perso</li><li>Commodities for p</li><li>Confirming order</li><li>Purchases via the</li></ul>						ve.
4.	Are separate CHP 43s, Puprepared for commodity ite different suppliers or from commodity contracts?	ems obtainable from	☐ Yes	□ No	⊠ N/A	Remarks:	
5.	Is all required information Purchase Requisition?	entered on the CHP 43,	⊠ Yes	☐ No	□ N/A	Remarks:	¥
6.	fiscal year (July 1)?	w at the beginning of each	⊠ Yes	□No	□ N/A	Remarks:	
7.	Are expedited requests for forwarded to the Assistant approval?		☐ Yes	□No	⊠ N/A	Remarks	

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks;
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□No	⊠ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	☐ Yes	□No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	☐ Yes	□No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	□ No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.
	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	□ No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	☐ Yes	□No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.
	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks:

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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□ No	⊠ N/A	Remarks:
<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	☐ Yes	□No	□ N/A	Remarks: Staff indicates that this is done but there is no way this can be verified.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	☐ Yes	□No	□ N/A	Remarks: Only requisitions for the past year were reviewed.
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks: When necessary.
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: FS – (078)	Division: ASD	Number
Evaluated by:		Date:
Mark Baude		November 24, 2008
Assisted by:		Date:
Norma Killion		November 24, 2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:			
☐ Division Level ☐ Command Level				
☐ Executive Office Level ☐ Voluntary Self-Inspection				
Follow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Commander's Signature: Date			
For applicable policy, refer to: HPM 11.1, Chapter 23				
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes ☐ No ☒ N/A Remarks:			
Does all X Number file documentation contain the STD. 204 Payee Data Record?	☐ Yes ☐ No ☒ N/A Remarks:			
Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes ☐ No ☑ N/A Remarks:			
4. Are X Number requests made prior to the date the services are performed?	☐ Yes ☐ No ☒ N/A Remarks:			
5. Are X Numbers issued for a one-time use?	☐ Yes ☐ No ☒ N/A Remarks:			
6. Are prohibited services performed using an X Number?	☐ Yes ☐ No ☑ N/A Remarks:			
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	☐ Yes ☐ No ☒ N/A Remarks:			
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes ☐ No ☑ N/A Remarks:			
<ol> <li>Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?</li> </ol>	☐ Yes ☐ No ☑ N/A Remarks:			
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes ☐ No ☑ N/A Remarks:			

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11.	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	□No	⊠ N/A	Remarks:
12.	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	☐ Yes	□No	⊠ N/A	Remarks:
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	☐ Yes	□No	⊠ N/A	Remarks:
14.	Do emergency service X Numbers document and justify the emergency?	☐ Yes	□No	⊠ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	☐ Yes	☐ No	⊠ N/A	Remarks

The command states that they only handle X Numbers as the OPI and not in a command capacity.